

# **Thailand AERA Quarterly Activities Report #12**

**July – September, 2002**

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**Accelerating Economic Recovery in Asia (AERA)**

**A US Government Funded Program**

**through the US Agency for International Development (USAID)**

Compiled by Paul Wedel, KIASIA Coordinator for AERA, and Vimala Aldis, KIASIA

## **Contents**

<b><u>Subject</u></b>	<b><u>Page</u></b>
<b>Executive Summary</b>	<b>2-4</b>
<b>Business Advisory Center</b>	<b>5-14</b>
<b>Business Support Organizations Partnership Program</b>	<b>15-18</b>
<b>Bank Training Program</b>	<b>19-21</b>
<b>Education</b>	<b>22</b>
<b>Border Action Against Malaria</b>	<b>23-26</b>
<b>Promoting Good Governance Project</b>	<b>26-32</b>
<b>Constitutional Education for Citizens' Active Participation in Reform</b>	<b>33-34</b>
<b>Appendix A: BSOP – Project Matrix</b>	<b>38-56</b>
<b>Appendix B: BAAM – Project Matrix</b>	<b>57-69</b>
<b>Appendix C: Resume – Gregory Sobel</b>	<b>70-76</b>

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## **Executive Summary**

### **Business Advisory Center**

This quarter the BAC continued efforts to assist SMEs with training and consulting, leveraging USAID funds with Thai government-funded programs. SMEs assisted include a cultural center in Chiang Mai, an automotive body shop in Bangkok and an ice cream manufacturer. BAC Cooperative Projects launched the “Product and Market Development for the One Tumbol One Product Project” in July to support the Ministry of Agriculture and Cooperatives. Consulting under the “Invigorating Thai Business” Program has continued and over 15 businesses from a variety of sectors received BAC assistance. The Thai Volunteer Consulting Services database now includes 202 volunteer experts, who have provided specialized consulting in 10 different fields and held four workshops over the past quarter.

### **The Business Support Organization Partnerships**

The BSOP has been concentrating on projects which develop and promote good governance, transparency, business structural reform, ethics, deepening of financial reform, and international competitiveness. A new large grant project was approved by the KIASIA Working Group Committee for a total amount of US \$49,302 to partner the American Bankruptcy Institute with Thai counterparts in order to develop a new Thai Class Action Law. A smaller grant was approved for three senior judges from the Central Intellectual Property and International Trade Court to participate in a Judicial Capacity conference on Intellectual Property–Enforcement and Dispute Settlement held in Washington, DC. Twenty-nine partnership projects have been approved in total, three large-grant projects were successfully completed this quarter and twenty-one partnership projects are currently underway.

### **Bank Training Program**

The Risk Control for Export Financing training project for the EXIM Bank is currently in the vendor selection stage. The risk management implementation training program and the control self-assessment trainings for Thai Military Bank (TMB) programs were successfully completed, both receiving satisfactory evaluations by participants. Ongoing bank training projects include Distance Training for Government Banks, Credit Risk Management Training, Small Corporate Skill Improvement Training and Risk Management for Financial Institutions Training. These trainings are scheduled to be held on or before January 2003.

### **Education**

KIASIA signed agreements with Thailand’s Ministry of Education and Honolulu Community College to support the East-West Community College Project, a five-day training for Thai community college administrators in Hawaii. The Mae Fah Luang University Project selected Oregon State University to assist MFLU in setting up an English language institute and train its

faculty members. A course was specially designed for Mattayom 4 students who are weak in English under the English through Entertainment Program. A teacher's manual, videotapes and cassette tapes have been developed to help teachers foster good attitudes towards learning the language by providing a more interesting and fun approach.

### **Border Action Against Malaria**

During this quarter, major activities implemented under the BAAM Project included:

- Implementation of *in vitro* sensitivity monitoring of antimalarial drugs in nine border provinces under the malaria sentinel surveillance drug resistance network initiative.
- Drafts were prepared for revision of manuals for physicians and health workers for application of drug treatment regimens for multi-drug resistant malaria.
- School-community-stakeholder workshops and planning workshops were conducted to formulate action plans for community action against malaria in 25 communities in Tak and Mae Hong Son Provinces.
- The National Working Group on the Partnerships for a School-based Approach to Community Action Against Malaria subproject met to review community-based malaria projects, conduct a participatory process evaluation workshop of Phase I implementation, and generate input recommendations for Phase II expansion starting in October.
- A senior Thai researcher participated in a transfer of technology training course which resulted in successful preparation for raising monoclonal antibodies.
- Sub-Grant proposals were approved for 7 awards to implementing partners including the Malaria Division, the Department of Medical Sciences, the Life Skills Development Foundation and two Provincial Public Health Offices.

### **The Asia Foundation Promoting Good Governance Project**

The Asia Foundation and sub-grantees began Phase 2 of the Good Governance Project. Highlights of this quarter's activities include a series of workshops with participatory training experts to draft two curricula for human rights monitors and for trafficking in persons monitors. The National Counter Corruption Commission team completed installation of hardware and software for a pilot system for the electronic submission and analysis of Asset and Liability Statements. Transparency Thailand and the Anti-corruption Network organized activities to increase public awareness of corruption. As part of the National Human Rights Commission Grassroots Monitoring System, the Foundation began field-testing of the Martus Communications software in the Philippines and Sri Lanka, with planned rollout in Thailand during January, 2003. The Administrative Law Group completed its survey to explain why the Administrative Court has rejected nearly 80% of the cases citizens have submitted and begun

development of a training course and manuals for lawyers to address the problems identified. EnLAW has begun development of its environmental law database and drafting of a training program to expand the pool of environmental lawyers available to assist citizens in disputes with state agencies and local power-brokers.

### **Constitutional Education for Citizens' Active Participation in Reform in Thailand Project (CE-CAP)**

The CE-CAP concluded the basic Constitutional Education training series with its 80<sup>th</sup> training session. A working group was formed to create a curriculum on “Coalition Building” as a force for encouraging full implementation of the Constitution.

CE-CAP produced a pamphlet on women’s rights and the Constitution that was distributed to NGOs, community organizations, government agencies, and labor unions. Working groups of Thai labor leaders and community activists were formed to work with the CE-CAP staff on two more pamphlets covering labor rights and farmers’ rights. Articles by a CE-CAP consultant have been published in trade union newsletters and on numerous Thai NGO web-sites. Progress continued on the publication of three handbooks.

The Official Information Act project held training workshops in two provinces and three meetings with the Director of the Office of the Official Information Committee. Plans are set for a two-day seminar for civil servants overseeing the OIA compliance efforts and representatives of civil society who have experience with the OIA. The CE-CAP project also consulted with the Environmental Protection Agency (EPA) and other US agencies with experience in public hearings to select a US-based consultant to conduct a workshop on “International Best Practice in Public Hearings.”

## **Project Reports**

### **Business Advisory Center (BAC) Implemented by the Kenan Institute Asia**

#### **SMEs Assistance Projects**

Khun Opas Rira-ruengjarassaeng, a Thai volunteer expert in accounting, provided assistance to a 36-bed privately-owned hospital in Pattalung province during June 30 to July 3 to set up an accounting software program. In addition to making recommendations on the software, he went to the site in Pattalung and provided training to all the accounting staff. The assistance will help the client improve their financial reporting processes.

Volunteer Expert Susan Snelson from CDC, with the assistance of BAC consultant Renee Santo, helped launch an international marketing program for a cultural center in Chiangmai province, which includes a deluxe Thai restaurant and a “Khantoke” dining and entertainment facility. VE Snelson has over 20 years experience in the travel industry and has successfully run her own travel agency in Texas providing deluxe tours around the world. She assisted the client for 3 weeks in July and was able to give suggestions for improving the center and improving marketing within Chiangmai and Thailand. Moreover, she was able to share her knowledge about the American travel industry and give tips on how to approach tour operators in the United States.

Khun Thammanoon A-ramvit, another Thai VE specializing in finance and accounting, assisted an automotive body shop in Bangkok in setting up a systematic accounting system during July 11 to August 22. He helped the small SME design a proper internal control system and a cost accounting system.

After obtaining assistance in business plan writing from a Thai VE, a manufacturer and exporter of automotive parts and accessories decided to pursue a second project with the BAC. VE Boonsong Tangboonchaicharoen, an expert in HRD, was recruited to provide assistance to the company during late July to August. This project aims at improving effectiveness in human resources management, with emphasis on performance appraisal, remuneration, training needs and organization structure.

VE Malcolm Peplow from CDC assisted an IT consulting company during July 22 to August 16 to formulate a master plan for their HR department. The plan covers work flow analysis, job description, job grading, performance appraisal and the use of HR scorecard for evaluation. VE Peplow has more than 36 years of experience in the HR area. He worked as a senior executive in HRD for several years before changing his role to become a management consultant for several companies. After his retirement he has volunteered to assist SMEs in several countries such as Egypt, Russia, Ukrain and United Arab Emirates before taking on this assignment in Thailand.

Associate Professor Sumontha Wathanasilp assisted an ice-cream manufacturing SME during July 16 to October. This company planned to offer Italian ice-cream in its outlets in office buildings with the first outlet opened in September. The company needs to ensure that its products are hygienic because of its high quality ice creams concept. VE Sumontha helped the company in designing their overall operations to comply with GMP (Good Manufacturing Practice) standard and advising on guidelines relating to production processes, equipment, storage and factory layout. She has over 30 years of experience in food science and has completed a large volume of research and written textbooks related to food technology.

Mr. James Reese, an ACDI/VOCA VE, was in country during July 28 to August 6 to provide assistance to a winter wears garment manufacturer in Samutprakarn province. Mr. Reese utilized his 30 years of experience in the retail garment industry to give valuable advice to the company in several areas. First, he helped them develop their own brand name geared toward travelers. He placed the company in direct contact with a sales agent in New York and plans are currently being discussed with regard to a potential relationship. Mr. Reese also contacted several American travel companies to discuss potential synergies with the company. Next, he helped establish a discussion between the company and a distribution center/ warehouse in Europe. There is a great deal of interest in the two parties working together. Finally, he advised the company with regard to its promotional materials, making slight changes so that they would be more tailored to the American market. Mr. Reese continued to provide follow up assistance while back in the US to help the company firmly establish working commercial relationship with US partners to increase their future sales.

VE Nathan Sakolsky from CDC was back in Bangkok during August 26 to September 21 to follow up on a project to assist the Printing Technology Training Center of a national University in developing a training curriculum in Consumer Packaging. Mr. Nathan completed the project's first phase in June by developing a curriculum that will be used to train university trainers. He spent the planned 4 weeks to train the Center's trainers to enable them to train students in the consumer product industry.

The class visited a glass bottle production facility, a folding carton plant, a metal can manufacturing plant and a corrugated paper box plant to learn about various packaging materials and styles and current development in the industry. The course ended with presentations by two groups of trainer students on their packaging design development project assignments. VE Nathan was able to visit a Thai Wines and Spirits exhibition in Bangkok and was invited to appear on the university's closed circuit national television to comment on local wine packaging.

Dr. Robert Rudland, an expert in Super-Insulated Cryogenic Gas Storage Tank Production who was recruited by Kenan Washington, assisted an industrial gas storage manufacturer during August 27 to September 20. The company wishes to change their gas storage tank manufacturing technique from their current Perlite-insulated type and upgrade the technology to enable the manufacturing of super-insulated cryogenic tanks. Dr. Rudland helped the company search for suppliers of super-insulation equipment and needed material. He transferred expertise on the technology to the company and assisted them with design and calculation of thermal

performance of the tanks. The company will next need to set up a working group and redesign their plant layout to complete the project and produce prototype tanks.

## **Cooperative Projects**

### **One Tumbol One Product (OTOP) Project**

The BAC launched a project entitled “Product and Market Development for the One Tumbol One Product Project” to support the Ministry of Agriculture and Cooperatives’ One Tumbol One Product (OTOP) project in July. The OTOP project is a major government initiative designed to work hand-in-hand with the Village Fund project to develop distinctive indigenous products made by selected villages all over Thailand, linking them with the markets to generate income in rural areas.

This pilot project is designed to 1) train participants in selected villages on basic business skills including accounting, marketing concepts, and pricing, 2) develop selective products to serve market needs involving product design, production efficiency and reliability and 3) develop a market network that would eventually expand both domestically and internationally. Three pilot site villages – Ban Chiang, Chaiyawan and Pibulrak (in Udonrthani province) have been selected for their high potential products. Products include pottery, woven reed basket products and indigo dyed “Mud Mee” textile. Cluster competitiveness concepts will be adapted to link pilot villages with local educational institutions for product design and development and production technology development. Pilot villages will also be linked with supporting government agencies, independent organizations and financial institutions for regulatory and financial support and with dealers and a customer network for markets and needs feedback. US VE resources will be utilized to provide insight into international markets, needs and requirements and to transfer expertise in product design and development. These linkages will promote the long-term sustainability of these business entities.

### **“Invigorating Thai Business” Project**

Consulting for the ‘Invigorating Thai Business’ project went ahead as planned after the Federation of Thai Industry, the Thailand Automotive Institute and the Electrical and Electronics Institute managed to clear paperwork and procedural hurdles with the Department of Industrial Promotion.

BAC consultants, Khun Yourop Sangsawang and Khun Vorraphan Chuanpraphan, work with Khun Suree Udomsri, a marketing expert, to assist a plastic injection company in Bangkok to develop a business plan for their new line of plastic household products. As this new product line is a departure from their traditional, mainly automotive parts and electronic products, they need a strategic marketing plan to penetrate the newly found household segment. The team is in the process of studying market demand and competitor data and expected to develop the marketing plan in about a month time.



Khun Wichai Saretawekul and Khun Prapas Chuaynoo of the BAC work with Khun Thanit Sirithorn, a marketing VE, to assist an electrical & electronic company develop a marketing plan and strategy for their metal work products. The company manufactures metal racks, cabinets, switchboards and other metal forming works for the electrical and IT industries. The marketing plan being developed will be designed to enable the company to spend their resources efficiently to achieve needed sales to sustain the business in the long run.

Another BAC consulting team, Khun Wichai Limpitikranon and Khun Orawan Chandrangsu and a production expert, Khun Sitthinart Sanpanich, provide assistance to one of the major manufacturers of heating and cooling coils in Thailand. The scope of work is in production improvement including three major areas of assistance: 1) to improve OEE rate (Overall Equipment Effectiveness), 2) to reduce waste and 3) to improve production planning. The project started in July and will continue until December.

A team of BAC consultants comprising Mr. Brian August, Khun Daranee Tattakorn and Khun Vorraphan Chuanpraphan kicked off a project in Lumpang province on August 5 to assist a manufacturer of medium to high-end tableware ceramics products. Approximately 80% of their sales are exported to the EU, USA and Japan. The team assists the company in the production and HRD areas. They aim to standardize all production processes by mapping all the existing processes and recommending improvement to increase productivity and reduce waste and rework. The team also introduces scheduling technique utilizing spreadsheet tools to keep records and help improve overall production scheduling. In the HRD area, the team recommends a new organization chart that addressed their production workflow and clarifies line of command. The recommendations will also include an appropriate compensation scheme, determining realistic production cost per unit and implementing quality testing measures and layout analysis.

Another team comprising Khun Nittaya Kanchanauthaisiri, Khun Dusit Meksingvee and production expert Khun Denpong Sangsattarat, started a project on August 7 to assist an automotive parts manufacturer in Samutprakarn province in solving their late delivery problems. The team works with the company's production team to set up a systematic production planning and implement 5S's system. The assistance will also include the preparation of Job Descriptions and a business plan. The project will be completed in early December.

The same BAC team of Khun Dusit Meksingvee and Khun Nittaya Kanchanauthaisiri is working with a marketing expert, Khun Kittipong Kiattanapume, to start a project on August 9 to assist a manufacturer of ribbon cartridges for printers. The consultants will work with the company until December to assist them in the areas of marketing plan formulation, purchasing and inventory management and training for staff at all levels.

Another consulting team, Khun Orawan Chandrangsu and Khun Nittaya Kanchanauthaisiri, has been working with a car dealer and service center in Nan province to develop Job Descriptions and a performance appraisal system for their service department. The project is also expected to be completed in December.



Khun Wichai Limpitikranon and Khun Wiwat Chutiwanichayakul, another BAC consulting team, has been assisting a cold roll forming machinery manufacturer in Kanchanaburi province to improve their productivity through TQC, preventive maintenance, ISO 9000 concept and good production planning technique. In addition to the production aspect, the scope of work also includes employee training, improving organization structure and financial analysis training.

Another team of Khun Wirat Jaruwongwanit, Khun Sorasak Prechadet and Khun Prapas Chuaynoo has been assisting an ice and drinking water producer in Kanchanaburi province. The team has been working with the company's management to develop Good Manufacturing Practice (GMP) and Hazard Analysis and Critical Control Point (HACCP) standards, create a standardized accounting and financial reporting system and address the HR issue to increase productivity of the production line staff. GMP and HACCP are international standards to improve production operating procedures in the food industry. The company anticipates that when they successfully obtain GMP and HACCP they will have competitive advantage over their competitors and increase sales.

Khun Duangrat Yaiphairoj and Khun Wirat Jaruwongwanit of the BAC and Khun Surasith Tatiyapuntarak, a productivity expert, have been assisting a ceramic products manufacturer in Kanchanaburi province. The team works with the company's production and management to improve production efficiency, reduce inventory and prepare a business plan.

BAC consultants, Khun Wichai Saretawekul and Khun Yourop Sangsawang team up with Khun Nipon Srisawan, an expert in machinery and quality standards, to assist a SME specializing in casting and machining of steel products for the automotive industry. The team has been working with the company's production management team to set up a production standard including the preparation of manuals and all documentation relating to their production process. The team will also review the lay out of their production line to work on improving production efficiency. A business plan for the next 5 years is also being formulated for the firm's internal guideline and financing purpose. The project will last through December.

Khun Wichai and another BAC consultant, Khun Daranee Tattakorn, have been working with Khun Adirek Pipatpatama, an expert in production process, to assist a wooden furniture manufacturer improve production efficiency. The team has been working on reviewing and recommending changes and improvement to their production process and production scheduling to tackle efficiency problems. The consulting assignment will also continue until the end of the year.

Another BAC team of Khun Sarit Sanguanwongse, Khun Vorraphan Chuanpraphan and Khun Wichai Limpitikranon has been working with an export-oriented Sa papers and Sa paper products manufacturer in Nan province to improve their production efficiency. The team has been studying the process from product design and marketing in the Bangkok head office to the Nan manufacturing facilities in order to identify potential problem areas and recommend improvements to reduce product defects and manufacturing costs and increase profitability.

BAC consultant team of Khun Dusit Meksingvee and Khun Yourop Sangsawang and Khun Somboon Wongwanich, an expert in costing system, have been providing assistance to an herbal product manufacturer in Petchburi province. The company was set up several years ago and has managed to maintain long history in the province for its quality herbal products for more than 60 years. The assistance includes special auditing in the current accounting system, recommending appropriate documents flow and costing system.

BAC consultants, Khun Wichai Limpitikranon and Khun Wiwat Chutiwanichayakul, have been traveling to Kanchanaburi province on a weekly basis to assist a rock mining and crushing company. The goals of the assignment are to improve the company's manufacturing process, financial process, and human resources development.

## **Thai Volunteer Consulting Services**

### **1. Thai Volunteer Expert Database**

The total number of Thai Volunteer Experts as of the end of the Third Quarter 2002 is 202 volunteers. The volunteers can be categorized by functional expertise as follows:

▪ Organization & HR Management	56
▪ Financial, Banking & Accounting	51
▪ Manufacturing and Industrial Engineering	32
▪ Agro – Industry	14
▪ Marketing	11
▪ IT, E-commerce & Telecommunications	10
▪ Other (e.g. Lecturers, Architects and Other Engineers)	28

TVCS has changed its recruiting processes to become more efficient at meeting the needs of SME projects by recruiting as projects arise. To date, only one-fourth of Thai volunteer experts in the TVCS database have been assigned to projects. Instead of recruiting volunteers from all expertise areas, TVCS will recruit new volunteer experts after the BAC has made pre-search requests and after no expert with appropriate qualifications has been found in the database.

### **2. Projects**

During the Third Quarter ten projects were completed, and ten volunteer experts were in still in the process of giving consulting services. The total man-days for the Third Quarter was 108 man-days.

TVCS served companies in the following areas of expertise:

- Ruamphat Pattalung Hospital, a private hospital in Pattalung Province, received assistance in developing an internal control system. This project accounted for three man-days by Volunteer Expert Khun Opart Riraruengcharatsaeng.
- Cho Manachang Co., Ltd., a factory and distribution/service center for truck and tractor wheels, received assistance in Cost Accounting. Volunteer Expert Khun Sriram Yuarrirakul worked on this project for ten man-days.
- Best Pac Concrete Co., Ltd., manufacturers of pre-cast/pre-stressed concrete utility poles, pre-cast floor slabs and pre-cast bridge sections, received assistance in Costing Systems. This project accounted for ten man-days by Volunteer Expert Khun Opart Riraruengcharatsaeng.
- Permpoon Marketing Co., Ltd., a trading and security services company, received assistance in Accounting and Filing Systems. This project accounted for ten man-days by Volunteer Expert Khun Thamnoon Aramwit.
- A&P Siam Neo Group Co., Ltd., a motorcycle spare parts manufacturer and importer, received assistance in strategic marketing. This project accounted for ten man-days by Volunteer Expert Khun Dhanit Siridhara.
- Mechanika Autosys Co., Ltd., an automotive bodyshop, received assistance in developing a systematic accounting system. This project accounted for ten man-days by volunteer expert Khun Thamnoon Aramwit.
- Panorama Hotel, a small hotel, received assistance in hotel management. This project accounted for ten man-days by Volunteer Expert Khun Narong Suthipongpitan.
- Isuzu Central Motors Co., Ltd., a dealer of commercial vehicles under the Isuzu brand, received assistance in cash flow and working capital management. This was the second phase of the project and accounted for ten man-days by Volunteer Expert Khun Thanee Khemakongkanont.
- Thai Interknit Factory Co., Ltd., a manufacturer of knitted fabrics, received assistance in Production and Human Resources. This project accounted for five man-days by Volunteer Expert Khun Sariya Chanpen.
- Rajaphat Institute Chiang Mai, an education institution in Chiang Mai Province, received assistance in developing a strategic plan and operating plan. This project accounted for 30 man-days by a team from King Mongkut University of Technology Thonburi.

### **3. Counseling Services**

TVCS organized four workshops to provide individualized expert assistance to clients.

- Volunteer Experts Khun Ek Weggosit and Professor Chukiart Ganjanashart provided two days of counseling to Emperich Co., Ltd. to improve its marketing strategy in the health and beauty industry.
- Volunteer Expert Khun Pricha Dangrojana provided one day of counseling to Mae La Pla Pao 39, a Thai restaurant, to help this client improve its management and marketing strategies.
- Volunteer Expert Khun Chai Jroongtanapibarn provided one day of counseling to Thai Lanna Food and Cultural Center, a Khantoke and Thai restaurant, to help improve management skills.
- Volunteer Expert Khun Ajarie Visessiri provided one day of counseling to Nature Explorer Magazine, a Thai magazine for travelers, to help this client improve its cash flow management.
- Volunteer Expert Dr. Ruj Sakornpan provided two and a half day of counseling to TVCS in preparing enveloping a Balanced Scorecard for measuring internal efficiency.

#### 4. Design Center

Thai Volunteer Consulting Services and the College of Management, Mahidol University are jointly developing a research project called “Website for the Promotion of Product Design and Innovation”. The goal of the project is to provide insight from other countries to help develop the abilities of Thai SMEs and entrepreneurs by strengthening their knowledge of product design, creating innovative solutions and to developing strong partnerships. The period of the research project is 14 weeks, which will involve a feasibility study, designing a database and creating a website that will foster networking.

#### 5. Other Issues

- TVCS has developed its internal balanced scorecard which will be integrated into the overall Kenan balanced scorecard as part of the Kenan strategy to measure and improve the effectiveness of the Institute.
- Volunteer Expert Khun Voranuch Kunavipakorn will replace Khun Sanithchai Suwannarat, originally assigned as the volunteer expert for Data Paint & Chemical Co., Ltd. Khun Sanithchai is unavailable to continue his duties.

#### BAC Indicator Table 1

<b>Intermediate Objective 1</b>	Restart Bank and Business Activity
<b>Indicators</b>	Total number of SMEs receiving AERA consulting assistance
	Increase in gross revenue
<b>Unit of Measure</b>	Number of firms assisted
	Average percentage change in gross revenue on the part of assisted firms.
<b>Source</b>	Company records and company reports to BAC
<b>Indicator Description</b>	Current GDP growth projections for Thailand are in the 2.5% range. SMEs receiving AERA assistance are expected to perform at least twice as well and a target of 5% growth in total revenue has been set. One year after assistance, firms’ revenue for the most recent quarter will be compared to the same quarter the previous year.

Year	Target # of Assisted SMEs Cumulative	Actual # of Assisted SMEs Cumulative	Actual Average % Increase
2000	20	116*	31% <sup>1</sup>
2001	120	165	40% <sup>2</sup>
2002	220	176**	35% <sup>3</sup>
2003	320		
2004	410		
2005	500		

\* Including 40 for 1999

\*\* Completed projects up to October 2002

<sup>1</sup> : 10 projects out of 32 respondents reported sales increase  
16 projects reported no change in sales  
3 projects reported sales decrease  
3 projects did not reveal sales data

<sup>2</sup> : 2 projects out of 5 respondents reported sales increase  
2 projects reported no change in sales  
1 project did not reveal sales data

<sup>3</sup> : 7 projects out of 20 respondents reported sales increase  
12 projects reported no change in sales  
1 project reported sales decrease

## BAC Indicator table 2

### Intermediate Objective 1

Restart Bank and Business Activity

<b>Indicator</b>	Business plans or elements of business plans in use by SMEs receiving AERA assistance.
<b>Unit of Measure</b>	Percentage of SMEs with current business planning.
<b>Source</b>	Company follow-up reviews by BAC.
<b>Indicator Description</b>	Each SME receiving assistance will be encouraged where appropriate to use business planning methodologies. The percentage of firms that continue to maintain that planning one year after assistance is projected at 50%.

<b>Year</b>	<b>Target</b>	<b>Actual</b>
1999	0	Baseline - 0
2000	50%	100% *
2001	50%	100% *
2002	50%	95% **
2003	50%	
2004	50%	
2005	50%	

\* All of the 32 and 5 responded projects in year 2000 and 2001 respectively either have business plans newly created or have existing plans in place

\*\* 19 of 20 respondents have business plans in place and 1 does not

## **Business Support Organizations Program (BSOP)**

### **Implemented by the Kenan Institute Asia**

The BSOP aims to develop mutually beneficial, sustainable partnerships between US and Thai business support organizations in order to strengthen the regulatory and competitive environment, business standards, and good governance practices for the Thai private sector. The BSOP has been concentrating on projects that develop and promote good governance, transparency, business structural reform, ethics, deepening of financial reform, and international competitiveness.

### **Projects Approved for Funding**

One new large grant project was approved by the KIASIA Working Group Committee in the amount of US \$49,302. In addition, one small grant project was also approved during this quarter. In total, twenty-nine large and small partnership projects have been approved. Three large-grant projects were successfully completed in this quarter. Eight large-grant projects have been completed and twenty-one partnership projects are underway.

#### New Large-Grant Project Approved

##### *1. Developing a Thai Class Action Law (US \$49,302)*

The American Bar Association (ABA) will provide expert assistance to work with the Thai counterparts, including the Council of State (CoS), the Class Action Law Research Team, the Class Action Law Subcommittee in developing the new Thai Class Action Law. The project includes five components:

- (1) Video-conference Roundtables: two videoconferences between the U.S. and Thai Counterparts will be held to establish counterpart linkages and to exchange and discuss issues related Class Action Law. The first videoconference was held on September 27, 2002. Forty Thai legal practitioners participated in the first videoconference.
- (2) U.S. Observational Program: A Thai delegation from CoS, the Class Action Law Research Team, and the Class Action Law Subcommittee will travel to the U.S. to visit the ABA and other key organizations to learn more about U.S. Class Action Law practices.
- (3) International Workshop: CoS will organize an international workshop for judges, lawyers, academics, and government and civil society groups to review and comment the draft law.
- (4) ABA Legal Assessment: based on comments from the international workshop, the CoS will support the Subcommittee in revising the draft law, and submit it to ABA for a Legal Assessment by U.S. judges and lawyers.
- (5) Nationwide Dissemination of and Comment on Draft Law: After developing the draft law, CoS will conduct a nationwide campaign, including public hearings, roadshows,



questionnaires, and public meetings, to disseminate the draft law and solicit comments from the stakeholders. CoS lawyers will collect, categorize, and response to the comments.

### **New Small-Grant Project Approved**

#### *1. Judicial Capacity regarding Intellectual Property – Enforcement and Dispute Settlement*

With BSOP support, three senior judges from the Central Intellectual Property and International Trade Court participated in the conference on Judicial Capacity regarding Intellectual Property – Enforcement and Dispute Settlement between September 12 – 13, 2002 in Washington D.C., U.S. The conference is organized by the United States Patent and Trade Mark Office (USPTO) and the International Intellectual Property Institute (IIPI) to provide a forum for participants from developed and developing countries to share their experiences in Intellectual Property Enforcement and Dispute Settlement. The conference will also include a program at the U.S. Court of Appeals for the Federal Circuit, the Specialized Federal IP Appellate Court in the United States.

### **Projects Completed During This Quarter**

#### *1. The Bond Market Development*

Mr. Michael Decker, Vice President, Research and Policy Analysis of the US Bond Market Association (TBMA), traveled to Bangkok to deliver a Securitization seminar held on September 23, 2002 for 250 participants from asset management corporations, secondary mortgage corporations, financial institutions, and companies with large pools of assets. The seminar was organized by the Thai Bond Dealing Centre (ThaiBDC) to provide fundamental knowledge and understanding on Securitization to potential issuers and related market participants in an effort to promote Securitization in Thailand. Mr. Decker also conducted a round-table discussion on Market Convention with Thai regulators and key organizations related to the Thai bond market. He shared U.S. experiences in setting up market conventions for issuing and trading Securitization products. Thailand's Security Exchange Commission hosted the round-table. In addition, TBMA expert also provided on-going advice to ThaiBDC in developing a Repo market in Thailand. The partnership between ThaiBDC and TBMA was established. The project has been successfully completed.

#### *2. Community Leadership Training Program*

With BSOP support, the Institute for Management Education for Thailand Foundation (IMET) delivered the third and the fourth pilot training programs on community leadership in central and eastern region between July 4 – 6, and in northeastern region between August 1 – 3, 2002. In the third pilot training, twenty-four representatives, including presidents and vice presidents from nine provincial chapters of the Thai Chamber of Commerce (TCC) and fifteen provincial Federation of Thai Industries (FTI) participated in the training. Twenty-one representatives from ten provincial Chapters of TCC and eleven provincial FTI in Northeast of Thailand were trained in the fourth pilot training. Total of 77 executives from

provincial chapters of TCC and provincial FTI in Thailand's four regions were trained in IMET's four pilot community leadership training programs. Since these pilot training programs were well received, IMET planned to deliver the community leadership training in provincial level next year. The project has been successfully completed.

### *3. Mediation Center for Financial Dispute Program*

Three judges and one senior official from the Alternative Dispute Resolution (ADR) Office traveled to San Francisco and Los Angeles in September, 2002 to visit U.S. courts and law firms and learn more about the Court-Annexed Alternative Dispute Resolution (ADR). The experiences gained exposed the Thai delegation to best practices of the Court-Annexed ADR. The trip was organized by the American Bankruptcy Institute (ABI). This activity was the last component of the project. The partnership between ADR office and ABI was well established through information exchange. The project has been completely successful.

## On-going Activities

### *1. Building Capacity and Professional Standard for Property Valuation in Thailand*

On September 26, KIA Asia hosted a videoconference between the Securities and Exchange Commission (SEC), Thai consultants and the Appraisal Foundation (TAF) from the US to discuss the draft valuation standards and plan for next steps.

### *2. Judicial Reform Project*

Four US experts from the Federal Judicial Center (FJC) led by the Honorable Fern M. Smith, FJC Director, delivered a series of seminars on case management, alternative dispute resolution (ADR), and testimony digital audio recording for Thai judges, lawyers, and academics in Bangkok between September 9 – 13, 2002.

On the occasion of the FJC trip, H.E. Darryl N. Johnson, US Ambassador to Thailand, hosted a reception in honor of Thailand's legislative and judicial reform programs being managed by KIA Asia with support from USAID on September 10, 2002. H.E. Anand Panyarachun, KIA Asia Chairman, and Judge Smith gave remarks at the reception. In addition to the FJC, the US was represented by the American Bankruptcy Institute and the American bar Association. The H.E. Chaturon Chaisang, Minister of Justice, and senior judges, represented the Thai side from the Supreme Court, Office of Judiciary, Administrative Court, Central Intellectual Property and International Trade Court, etc.

## Indicator tables for Business Support Organizations Partnering Program

### Intermediate Objective 1      Corporate and Financial Governance Improved

<b>Indicator</b>	Policies, systems, or procedures adopted by participating partner organizations
<b>Unit of Measure</b>	Number of participating organizations implementing policies, systems, or procedures introduced or strengthened through the partnership fostered by the BSOP

Year	Expected Measures Cumulative	Actual Measures Cumulative
1999	0	Baseline - 0
2000	2	7
2001	7	12
2002	10	16
2003	15	
2004	20	
2005	25	

### Intermediate Objective 2      Financial and Corporate Governance Improved

<b>Indicator</b>	The number of long-term partnerships initiated and maintained
<b>Unit of Measure</b>	Number of partnerships

Year	Expected Partnerships Cumulative	Actual Partnerships Cumulative
1999	0	Baseline - 0
2000	2	4
2001	4	8
2002	8	11
2003	12	
2004	10	
2005	8	

\*Please refer to Appendix A for additional ongoing activities in the BSOP matrix.

## **Bank Training Program Implemented by the Kenan Institute Asia**

### **EXIM Bank training project during vender selection stage**

The training project of Risk Control for Export Financing for EXIM Bank is currently in vendor selection stage. The notification of the successful bidder will be made by the end of October 2002.

### **Risk Management Implementation Training Program for Bank of Ayudhya Completed**

The risk management implementation training program for Bank of Ayudhya was successfully completed. The program comprised of 6 courses including Best Practice in Credit Risk Management, Introduction and Implementation of the Bank's Credit Manual, Introduction to Market Risk Management, Market Standard Techniques, Model, Market Risk Exposure Management, and a Train-the-Trainer course on the Bank's New Credit Manual. There were a total of 1,066 participants, including the Bank executives, management and staff attending the training program. The objective of the training was to improve the level of risk management skills of the Bank staff, particularly in relation to credit risk and market risk. The outcomes were successfully met the Bank's expectations. The overall evaluation by trainees indicated that participants were satisfied with course content, instructor, and presentation methodologies performed by PricewaterhouseCoopers Risk Management Services Ltd.

### **Control Self Assessment (CSA) Training Program for Thai Military Bank Completed**

The control self assessment training for Thai Military Bank (TMB) was successfully completed. The training program consisted of CSA training, CSA facilitation training, and a pilot project. The whole training program was attended by 186 TMB management and internal audit staff. In addition, the CSA manual, and the CSA facilitation manual were developed to provide a practical reference source to support CSA activities and CSA facilitation in TMB. The overall evaluation by participants indicated that the training program, conducted by PricewaterhouseCooper Risk Management Services Ltd., was satisfactory.

### **Ongoing Bank Training Projects**

#### *1) Distance Training for Government Banks*

A training program entitled “*New Bank Professionals Development Network*” is being conducted via distance learning for government banking staff throughout Thailand. The participating banks are Bank of Agriculture and Agricultural Cooperative, Government Savings Bank, Government Housing Bank, the Small Industrial Finance Corporation, including Thai Military Bank. However, Krung Thai Bank has not participated in the training

as first expected due to delays in its budget approval. This program consists of 6 courses namely 1) Risk Management; 2) Banking Law; 3) Internal Auditing; 4) Professional Sale, Following up, and Services to Customers; 5) Assets and Liabilities Management; and 6) Economics for Bankers. The first three courses were successfully completed. The training project was well received by the participants as evidenced by the actual number of participants which was twice the anticipated number of 2,000. This increase led to an amendment in the relevant grants to raise the level of funding available to cover additional expenses due to the larger number of participants. The training is scheduled to be completed in late November 2002.

## *2) Credit Risk Management Training*

The 3-course training program on Credit Risk Management for Krung Thai Bank (KTB) including a top management seminar, a senior management seminar, and a train-the-trainer session has been completed. The first two courses got high satisfaction ratings from participants. However, the final session did not run successfully due to problems with the training materials and the manner in which the course was delivered.

The train-the-trainer session was therefore required to be re-run on October 2-4, 2002 at Khao Yai training center. There are 20 in-house KTB trainers attending the session. The objective for this session is to provide sustainable benefits to KTB by empowering the Bank's in-house trainers to effectively delivered knowledge to other Bank employees. The training program has been conducted by Deloitte Touche Tohmatsu's Emerging Market unit.

## *3) Small Corporate Skill Improvement Training*

The training program is to enhance the Thai Farmers Bank relationship managers' skills and capabilities to assist SME clients more efficiently. The training will be organized for 150 staff in the bank's SME group. Coverage will be on identifying borrowing needs, business risk analysis, understanding the fundamentals of accounting, financial statements analysis, cash flow projection, and structuring and pricing loans. An assessment was conducted in October 2002 by PricewaterhouseCoopers FAS Ltd. The training is scheduled for January 2003.

## *4) Risk Management for Financial Institutions Training*

The training assists top and middle management of Siam City Bank (SCIB) to improve the efficiency of the bank's risk management. There are 150 SCIB staff attending the training sessions including senior executives, middle management and trainers. The purpose of the training is to provide bank officers with information about enterprise-wide risk management, types of risks and risk management procedures and technical tools & solutions used in IT-based risk management to implement risk control systems more efficiently. A needs assessment was conducted in October 2002 by PricewaterhouseCoopers Risk Management Services Ltd. The tentative training schedule has been set for January 2003.

## Indicator tables for Bank Training Program

**Intermediate Objective 2**      Corporate and Financial Governance Improved

<b>Indicator</b>	Policies, systems, or procedures adopted by the participating banks
<b>Unit of Measure</b>	Number of participating banks implementing new policies, systems, or procedures.
<b>Source</b>	Executive orders, and implementing rules and regulations of the participating banks
	Reports from the participating banks
<b>Indicator Description</b>	1. Implementation of new procedures and systems related to the training courses, i.e. new Credit Policies or Credit Policy Manuals, Risk Management Procedures, Internal Control Systems, Responsibility Accounting Centers or Systems

<b>Year</b>	<b>Target # of banks Cumulative</b>	<b>Actual # of banks Cumulative</b>
1999	0	Baseline - 0
2000	4	4
2001	5	7
2002	10	12
2003	12	

## **Education Program**

### **Implemented by the Kenan Institute Asia**

#### **East-West Community College Project**

Agreements between the Kenan Institute Asia and Thailand's Ministry of Education and Honolulu Community College were signed to use AERA funding to support the five-day training in community college administration, teaching, and faculty development for Thai community college administrators in Hawaii. Twenty-eight participants were selected, consisting of twenty directors and committee members from the 10 community colleges, six representatives from Ministry of Education's Office of Community College Promotion, one from the Office of the Private Education Commission, and one from the Kenan Institute Asia. The training was scheduled for October 14-18, 2002.

#### **Mae Fah Luang University (MFLU) Project**

An opportunity to partner with Mae Fah Luang University was announced through the KIASia website and direct invitations to 12 shortlisted universities with reputable English as a second/foreign language programs. Two proposals were submitted from the Oregon State University and Monterey Institute of International Studies. A committee consisting of representatives from MFLU, US Embassy, and the KIASia selected the Oregon State University's English Language Institute as a partner to assist MFLU in setting up an English language institute and train its faculty members. The Oregon State University's proposal offered more in-depth training and consultation to MFLU faculty members at a reasonable cost, and OSU offered some cost-sharing as well. Two OSU consultants will be travelling to MFLU in November 2002 and stay for about three months to provide consultation and training to MFLU and prepare MFLU faculty members for the training at OSU next year.

#### **English through Entertainment**

This course is specially designed for Mattayom 4 students who are weak in English. A lesson plan will be provided as a guideline for teaching this special English class. A teacher's manual, videotapes and cassette tapes will be additional instructional instruments to support the teacher. This model program will help students who are weak in English foster a good attitude towards learning the language by providing a more interesting and fun approach. Examples of real-world applications that are of interest to the students will be also provided.



## **Border Action Against Malaria Implemented by the Kenan Institute Asia**

### **Border Action Against Malaria**

The Border Action Against Malaria Project (BAAM) works with a broad national coalition to slow the emergence and spread of multi-drug resistant malaria in Thailand's border areas. The program is developing new models of cooperation and partnership, particularly with community organizations, to monitor and respond to the threat that such resistant strains will spread, not only in Thailand, but also across the region. This is intended to contribute to decentralization and reform of public health systems, making them more effective and sustainable. The purpose of the project is to improve the national capacity to monitor and respond to multi-drug resistant malaria.

### **Project Activities**

During the reporting period from July to September 2002, activities implemented included the following:

***Sentinel site monitoring of in vitro sensitivity to antimalarial drugs:*** Implementation of *in vitro* sensitivity monitoring of the currently used front line antimalarial drugs continued in 9 border provinces under the malaria sentinel surveillance drug resistance network initiative. Another meeting of the national malaria drug policy committee was held to review the drafts of revised manuals for physicians and health workers for application of drug treatment regimens for multi-drug resistant malaria.

***Partnerships for a School-based Approach to Community Action Against Malaria Subproject:*** School community-stakeholder consultation workshops and planning workshops were conducted to review the results of student malaria situation assessment, analyze feasible alternatives and formulate plans for community action projects against malaria in 25 communities in Tak and Mae Hong Son Provinces.

The Life Skills Development Foundation organized a meeting of the National Working Group to review community-formulated malaria projects resulting from the school-based participatory learning process and community consultation/planning workshops.

The Working Group, including education and malaria control officials, participated in a process evaluation workshop of Phase I implementation. Participants used a quality audit checklist covering 57 items grouped into 4 components and weighted for importance as follows:

- 1) Conceptual framework, objectives, strategy, implementation plan (20);

- 2) Implementation process (50);
- 3) Management (20);
- 4) Budget and finance (10)

Each item was audited for application of the continuous improvement cycle using 4 steps: plan, do, check, act; supporting documentation was used to verify implementation of the steps. Each item was then assessed for quality improvement level and graded from a low of 0 to a maximum of 5. The overall rating for quality level of the subproject was 78.2%, which is considered good. On the final day of the workshop, participants provided recommendations for improvements for Phase II expansion starting in October 2002.

BAAM's Project Coordinating Unit organized a multi-sectoral coordination meeting to prepare for expansion of Partnerships for a School-based Approach to Community Action Against Malaria to Chantaburi and Trat Provinces starting in October 2002.

*Community-based Malaria Control on the Thai-Cambodian Border:* BAAM management held several consultation meetings leading to the finalization of sub-grant proposals by Provincial Health Offices and vector control centers in Chantaburi and Trat for community-based approach to malaria control during the transition to a decentralized reformed health system.

*Development of locally produced rapid dipstick tests:* Dr. Pongwit Bualombai was sent to the University of Manchester to participate in a transfer of technology training course which resulted in successful preparation and purification of pLDH and pGAPDH for raising monoclonal antibodies.

*Sub-Grants proposals were approved for 7 awards to implementing partners as follows:*

1. Malaria Division for continued support of *in vitro* sensitivity monitoring and *in vivo* therapeutic efficacy study of currently used first line antimalarial drugs in 9 border provinces under the malaria sentinel surveillance drug resistance network initiative;
2. Malaria Division for developing dye particle-linked monoclonal antibodies against pLDH and pGAPDH for malaria antigen detection;
3. Department of Medical Sciences for cloning and expression of LDH and GAPDH enzyme from *P. falciparum* by genetic engineering method;
4. Department of Medical Sciences for research and development on production of a dipstick rapid test kit utilizing dye particle-linked monoclonal antibodies against pLDH and pGAPDH for malaria antigen detection;
5. The Life Skills Development Foundation for Phase II expansion of Partnerships for a School-based Approach to Community Action Against Malaria;

6. Chantaburi Provincial Public Health Office for community-based malaria control along the Thai-Cambodia border through civic partnerships;
7. Trat Provincial Public Health Office for community-based malaria control along the Thai-Cambodia border through civic partnerships.

*Coordination and Networking:* BAAM Project management staff participated in the following non-project events:

- National seminar for Chiefs of Vector-borne Disease Control Centers;
- The annual technical meeting of the Department of Communicable Diseases Control;
- The Annual General Meeting of the Malaria Association of Thailand;
- Third Seminar on Thai-Cambodia Border Health Cooperation in Trat Province;
- WHO-MOPH meeting on epidemiological information on migrant populations along the Thai-Burma border

*Achievement of annual results targets in BAAM 5 year plan:* Planned vs. actual results against targets for FY 2002 appear in a separate report: “BAAM Project Results for FY 2002.”

### **Major Activities Planned for the Next Quarter**

Major activities planned for the next quarter from October through December 2002 include the following:

- *in vitro* sensitivity monitoring and *in vivo* therapeutic efficacy study of currently used first line antimalarial drugs in 9 border provinces;
- Multi-sectoral coordination meeting on expansion of the Partnerships for a School-based Approach to Community Action Against Malaria Sub-project to Chiang Mai Province;
- Teacher training on project-based learning on malaria for early primary grades in Tak and Mae Hong Son Provinces;
- Workshops in Mae Hong Son and Tak Provinces on multi-sectoral support to enable implementation of community-generated malaria control projects;
- Initial teacher training for expansion of the Partnerships for a School-based Approach to Community Action Against Malaria Project to 15 border schools in Tak, Mae Hong Son, Chiang Mai, Chantaburi, and Trat Provinces;
- Workshop for vector borne disease control units and local health officials on analyzing and using community-level malaria epidemiology information to support community-based malaria control;

- BAAM Project Manager will participate in the WHO bi-regional meeting on Roll Back Malaria in Manila in October;
- BAAM's school-based approach to community action against malaria will be presented at the UNESCO Sub-regional Workshop on Comprehensive School Health and Nutrition in Chiang Mai, Thailand in October;
- BAAM's school-based approach to community action against malaria will be presented at the EC Mekong Malaria Symposium on Practical Issues for Malaria Control in the Mekong Region in Siem Reap, Cambodia in December;
- Opening of the BAAM Project Coordinating Unit Office in Chiang Mai.

## **Promoting Good Governance Project Implemented by The Asia Foundation**

### **PROGRAM SUB-PROJECT PROGRESS**

#### **Research on Enhancing the Efficiency of Asset and Liability Statement Examination**

As noted in the previous report, the NCCC-organized team completed its research and evaluation of the Asset and Liability Review process conducted by the NCCC. The team recommended the NCCC implement an electronic format for the submission of statements and received authorization from the NCCC to implement a pilot project to test the effectiveness of an electronic format. On June 28, 2002, the team completed procurement of a server and related peripherals for the project and installed the equipment at the NCCC. They then began beta testing and debugging of the software, which was completed on August 5, 2002. In the interim, the team began development of four manuals: User Guide, Staff Guide, Administrative Guide and Executive Guide. The team completed the working drafts to be used during the initial testing on July 29, 2002. By October 31, 2002, the team plans to have begun implementation of a series of workshops and seminars to begin bringing the system to public notice and gauging reactions in order to design a user training program.

As this project moves forward, there remain several significant obstacles. The first problem is that the NCCC's current web site ([www.nccc.go.th](http://www.nccc.go.th)) is on an off-site, unsecured server. Before the web site can be connected to the Commission's new on-site server system, (so that the Asset and Liability System can be used via both the internet and the intranet), the NCCC must first register its own IP Address, and it must install a leased line to enable secure, 24-hour service. The NCCC secretariat is currently going through the approval process for these two essential elements.

Second, NCCC secretariat staff remain unfamiliar with the system and how it functions. On August 9, for example, the officials in charge crashed the system and were unable to bring it back into operation. Through proper use of passwords and a few minor steps, however, a technical expert was able to restore the system with no problems. The incapacity of the Thai civil service system to provide state agencies with qualified IT personnel will remain a major problem for this project (and others) in the near and long-term. Under a non-USAID-funded project, The Asia Foundation is currently working with the Prime Minister's IT Advisory Council, the Computer Association of Thailand, and the Civil Service Commission to examine strategies the government might implement in order to address this problem facing all government units.

Finally, and perhaps the most significant problem facing the achievement of the objectives of this project, the electronic system will require substantial re-engineering of the current process through which the NCCC reviews asset and liability statements. As with most reforms requiring process re-engineering, internal resistance to such reforms is to be anticipated. However, since the current process allows the NCCC to verify less than 5% of Asset and

Liability Statements submitted, it must find a radical solution if it is to discharge its constitutional mandate to verify all statements in a timely manner. As part of this re-engineering, a significant number of legal and constitutional amendments will be required. As just one example, Section 291 of the 1997 Constitution requires the submitter of an Asset and Liability Statement to sign every page of the document; while Section 293, requires an official of the NCCC to sign every page, as well. In order to use the electronic format, the Constitution will have to be amended to allow for electronic signature by both the declarer and the NCCC.

### **The National Human Rights Commission's Grass Roots Monitoring System**

As noted in the previous report, in order to assist the National Human Rights Commission to create a nationwide network of monitors, the Foundation initiated a curriculum design and master trainer training program to provide potential monitors with the knowledge and skills they will require to effectively, and safely, monitor human rights abuses in the country-side. After evaluation of the views expressed in the inception workshop, "Creation of a Human Rights Training Curriculum" on May 30, 2002, the Foundation organized a core working group to design the training curriculum. It had been anticipated that this process would be complete by the end of August, 2002, and that the materials would have their initial testing during September. However, the working group was unable to maintain this schedule for three principal reasons. First, the members of the working group are all experts in their field with subsequent high demands on their time. Therefore, it was difficult to coordinate organization of working group sessions in which all members were free to participate. Second, reaching consensus on the issues to be covered by the curriculum and the organizational design of the curriculum took far longer than anticipated and required more working group sessions than originally anticipated. Third, mid-way through the process of curriculum design, the working group had the good fortune of receiving consulting services from an internationally acclaimed Human Rights Training Specialists from Amnesty International Norway, who provided the group with a number of insights they had not previously considered.

By the end of September, 2002, one month behind schedule, the working group completed the basic design of the training curriculum, which has six sections. These sections are:

1. Human Rights Principles and Gender Perspectives
2. Basic Rights and Their Affirmation in Thai Laws and International Conventions
3. The Causes of Human Rights Violations and Protection Mechanisms
4. Non-Violence and Human Rights
5. Principles and Techniques for Participatory Human Rights Training
6. Hands-On Training and the Planning to Implement a Training Program

The working group has scheduled a testing of the curriculum training materials for October 15-16, 2002. Curriculum designers and master trainers will practice using the curriculum amongst themselves. In addition, a panel of seven human rights specialists and participatory training specialists will observe the testing and prepare a detailed critique of the curriculum. Based on the information gained from this test, the curriculum will be revised as

necessary in order to be able to implement the first Training of Trainer Training Programs for 40 master trainers November 22-29, 2002.

It should be noted that in a parallel activity, as second working group is developing a training program for Trafficking in Persons Monitors. That group experienced similar delays, and for the same reasons, as the Human Rights Working Group in the design of the curriculum. The TIP Curriculum will be tested November 2-3, 2002.

Another element of developing a nationwide network of human rights monitors for the National Human Rights Commission is the establishment of a secure method of communication between monitors and the Commission. As noted in the previous report, The Asia Foundation has selected Martus, an open source, secure email system developed by Benetech, as the most feasible option to achieve this objective. The Foundation has organized a number of small workshops for human rights NGOs and for the National Human Rights Commission to familiarize them with Martus. The software is currently undergoing Beta-testing in the Philippines and Sri Lanka. It is anticipated that it should be available for use in Thailand in January, 2003. At that time, the Foundation will begin supporting a series of training programs to enable NGOs and the Commission to use the system. The computer unit of the Foundation for Children has agreed to modify the software so that it can be used in the Thai language.

### **Enhancing Citizen Participation in Suppressing Corruption**

Since the initiation of this project, the Foundation has been providing administrative and program support to two NGO's, Transparency Thailand (TT) and the Anti-Corruption Network (ACN), to promote citizen participation in suppressing corruption. The focus of TT has been on national policy level issues, while the ACN has a greater focus on participation at the local level. The organizations cooperate together in developing and implementing programs that focus on students.

One of the objectives of providing **Transparency Thailand** with administrative support was to enable the organization to hire full-time program staff with the capacity to provide follow-up to decisions made by the TT Board of Trustees, organize volunteers to carry out these activities, and finally to conduct additional fund raising to expand program activities. To date, the provision of this administrative support has proven to be a very successful strategy. While the Foundation has invested \$53,900 of USAID funds in TT for both administration and project support, the administrative support has made it possible for TT staff to secure an additional \$307,275 in project assistance from five other sources: the Ford Foundation, UNDP, the Thailand Development Research Institute, the Fredrick Ebert Stiftung (Foundation), and from private individuals. It is likely that TT will also be able to secure some funding in FY03 from the ADB for research projects. What is critical to note is that most funding agencies refuse to provide organizations with administrative support, restricting their funds to specific project activities. However, were it not for USAID's willingness to provide modest administrative support, TT would not have had the staff to pursue, and to continue to pursue, additional project funding.



During the past quarter, TT was involved in a number of project activities that were at least partially funded by USAID. For example, in order to raise awareness about corruption, and to encourage investigative reporting on instances of corruption, TT announced the creation of a “Best Media Award on Corruption”. After a panel review of stories from the previous year, two journalists were selected to receive an award: one from Matichon for a series on corruption in the building of the Bangkok-Chon Buri expressway, and one from Than Thurakit for a series on corruption in the procurement of a dredger by the Harbor Department from the United States. In both instances, the stories broken by these two papers became major news items in all papers during the past year. The awards (a plaque and a check for \$625 funded by USAID) were presented by TT Chairman, former Prime Minister Anand Panyarachun at a gala dinner (funded by the Ford Foundation) organized by TT on September 18, 2002. The event, attended by over 300 representatives of the business community, NGOs, MPs and Senators, scholars and the media, was widely reported on by the media on September 19-20.

At the same awards ceremony dinner, five secondary students were awarded a scholarship for their winning essays on “My View of Corruption”. The Youth Essay Contest was a follow-up activity to the Youth Anti-Corruption Training Program previously organized during October-November, 2001. Before June 30, 2002, a TT staff committee had narrowed down all of the submissions to 22 finalists. A panel of four TT Board Members (Dr. Ammar Siamwalla, Dr. Somsakdi Xuto, Pol. Gen. Vasiit Dejjunjorn, and Dr. Juree Vichit-Vadakan) then reviewed all 22 papers. They decided that none of the papers merited the first or second prize award. Therefore, they selected five third place awards. Anand Panyarachun presented each of the students their award (a plaque and a \$250 scholarship funded by USAID).

Since July 2001, TT has produced a 2-hour radio program on anti-corruption, aired every Saturday from 12:40 to 14:30 on FM 96.0. Development of program scripts and the coordination of guest speakers is funded by USAID, with air time received gratis from the stations. TT expanded its radio coverage in January 2002 with an additional 15-minute production aired every Saturday evening from 18:15 to 18:30 over ten local radio stations. Increasingly, TT is cultivating a constituency of listeners who interact with TT thus building its volunteer base.

As noted in the previous report, one of the new mechanisms under the 1997 Constitution designed to strengthen the capacity of citizens to oversee government operations, is the Administrative Court. The Court enables citizens to seek redress or impose sanctions on government officials who abuse their authority in cases of alleged corruption or human rights violations. During its first year in operation, however, many citizens were frustrated when their petitions were rejected by the Court. In order to address this problem, in April 2002, the Foundation issued a grant to **The Working Group for Research and Training in Administrative Court Law** to analyze the problem and to develop recommendations and tools to enable citizens to more effectively file petitions against corrupt officials.

During this reporting period, the Working Group completed its research on the reasons why the Administrative Court has been rejecting petitions filed by citizens. Based on the data

from this research, during this quarter they began to focus on three core project activities. First, they completed drafting a Manual on Administrative Case Law and the Filing of Administrative Court Cases. This draft is now being reviewed by a variety of groups to determine what modifications should be made. Second, the Group has drafted a training curriculum for lawyers that will draw on the Manual. The Group intends to test the training program beginning in October 2002, with revisions in November. Third, the Working Group has completed the design for a website, which is now under construction. The site will include summarization of various administrative laws, and easy to follow procedural instructions for filing a case with the Administrative Court.

As noted above, the manual, training course and website were all designed based on the results of the Working Group's study of why the Administrative Court has been rejecting specific petitions filed by citizens. The research was very informative. They found that during the period under study, the Administrative Court cleared 900 petitions from its docket. However, of these cases, the Court rejected 700 (78%) of the petitions and refused to consider the cases or make rulings. The Working Group concluded this single statistic indicated a significant problem with citizen access to redress through the Administrative Court. Analysis of the various cases rejected by the Court provided clarity on ways to reduce this problem.

The Working Group found that the fundamental causes of this high rate of rejection were that neither citizens nor lawyers are familiar with the role or procedures of the Administrative Court nor do they understand the meaning of administrative case law. Secondly, the Court itself must accept some blame because prior to the opening of the Court it placed full page ads in all of the major newspapers, and aired public service announcements on television and radio announcing how easy it is to file a complaint. The Court hyped the ease by stating a petition could be written by hand rather than typed, it could even be submitted via the mail rather than in person. It therefore received a massive influx of petitions. In reality, however, there are many stumbling blocks to the successful submission of a petition to the Administrative Court.

The Working Group further concluded that the problems citizens face in filing a petition with the Administrative Court fall within two broad categories: 1) citizen's lack of understanding, or misperceptions, about administrative case law; and, 2) procedural errors. There are four principal misunderstandings that citizens have about the role of the Court that contribute to the rejection of their petition by the Court. These are:

1. The first misunderstanding is that a suit may be filed against an official for any action taken by the official in either his or her official or personal capacity. For example, a number of petitioners were filing to have the Court order an official to repay a loan on which they had defaulted. However, citizens may file a suit against an official only for an action in his or her official capacity, not over personal issues.
2. The second misunderstanding is that the Court can overturn the ruling of another court. For example, a number of petitioners wanted the Court to order the criminal or civil court to re-consider a verdict.

3. The third misunderstanding is the Court can order the disciplining or removal from office of an official or impose criminal penalties on an official.
4. The fourth misunderstanding is that the Court can accept all administrative law cases. In actual practice, there are laws that prohibit the Court from considering some cases, such as those going through the military courts, or special courts like the family court, the bankruptcy court, or the labor court.

Based on these four common misperceptions, the Working Group concluded that, at a minimum, it is necessary to ensure that citizens and lawyers understand that a case may be brought before the Administrative Court only if it meets one of five criteria:

1. The case arises from an administrative act in which a specific official has done something that does not require prior approval from citizens, such as issuing a regulation or issuing an administrative order, such as an approval or an appointment.
2. The case arises from an administrative contract, such as a concession license, or a contract to build a bridge or road.
3. The case arises from an infringement of administrative rules or some other error, such as ordering the closure of a factory and the factory owner being in some way injured.
4. The case arises from an official failing to act, or acting slower than required by a specific law or regulation, such as a requirement that an official act be completed within a 30-day deadline; or even where no specific timeframe is set by law, if the act is generally or normally completed in a specific amount of time and the act has not been completed.
5. The case arises from any other administrative act that is specified in law to be under the jurisdiction of the Administrative Court.

In addition to the four misunderstandings about the role of the Administrative Court, there are five procedural errors common among cases that are rejected by the Administrative Court. These are:

1. The filer of the complaint is not the injured party as specified by the law under question or an injury has yet to be incurred. Different laws specify who injured parties might be. In addition, for example, a petition cannot be filed against an administrative unit when it has first announced a project or policy that may have an impact on the rights of citizens until after the project or policy has been implemented and created an alleged injury.
2. The filer failed to submit their petition within the time period specified in the law, which is usually within 90 days of knowing about the problem or one year for infractions of regulations, but which varies greatly and is subject to the time frame defined in each law or regulation.

3. The filer requests the Court to issue an order that the Court is not authorized to issue, such as removing an official from office.
4. The filer has failed to exhaust all other recourse stipulated by a law or regulation before filing their petition. **The Working Group found the failure to exhaust all other recourse to be the number one cause of case rejection by the Court.** They also believe it will be the most difficult to deal with because neither citizens nor lawyers are fully aware that different laws have different recourse procedures, and these procedures vary considerably. Although administrative laws require officials to inform citizens of their rights under a law, this rarely happens in actual practice, and therefore citizens do not know the recourse procedures they must follow.
5. Other reasons for rejecting a petition include use of foul or improper language in the text of the petition, or failure to clearly state the nature of the case and the remedy requested.

Through research to develop a clearer understanding of why the Administrative Court has been rejecting specific petitions filed by citizens, USAID funds are assisting young lawyers to develop training programs and legal aids (manuals and a website) that should ensure that citizens have access to redress for legitimate claims in the Administrative Court.

As noted in the previous report, research demonstrates that a large percentage of corruption cases and related human rights abuses arise over land rights disputes and concerns by local communities over degradation of their immediate environment. The Thai legal system, however, is ill-prepared to deal with environmental-based disputes because there are few independent advocates for public interest environmental law. In order to provide citizens with access to information on these issues, as well as technical and legal aid support in disputes arising from land and environmental issues, the Foundation provided a grant in April, 2002 to the **Environmental Litigation and Advocacy for the Wants (EnLAW)**.

During the first three months of the project, EnLAW efforts focused on five project activities. First, they began building an environmental law database. Due to the nature of cases being brought to EnLAW's attention during this period, the data base currently has a special emphasis on nuclear waste management and potash mining. Second, EnLAW organized a seminar at the National Human Rights Commission on "Challenges to the Enforcement of Environmental Laws". The results of the seminar are being analyzed to determine further research and data base requirements. Third, preliminary discussions were held with a network of lawyers and environmental NGOs on the development of a manual to raise public understanding of environmental law and who to contact for assistance. Fourth, working in consultation with the Law Society of Thailand, EnLAW began the process of drafting a training program for lawyers in environmental law. This program should be ready for pilot testing in November 2002. Finally, EnLAW staff have been working on a taskforce of NGOs and academics to analyze the National Environmental Quality Act, with a view toward the development of recommendations to strengthen the act and its enforcement.

With financial support from the Blacksmith Institute, EnLAW lawyers filed suits in the Civil Court and the Administrative Court on behalf of the victims of a Cobalt-60 accident. The Administrative Court verdict handed down on September 27, 2002 was deemed to be particularly significant by EnLAW and civil society because the Court ruled Thailand's nuclear regulatory agency had been grossly negligent in monitoring the storage of not only the Cobalt-60 in question but other nuclear wastes as well. This was the first case in which the new Administrative Court has found an agency to be negligent and awarded compensation to the victims. The case will also help to build EnLAW's reputation for the pursuit of citizen redress on environmental issues.

## **Constitutional Education for Citizens' Active Participation in Reform in Thailand Project (CE-CAP)**

**Implemented by the American Center for International Labor Solidarity (ACILS)**

### **Training & Workshops**

At the end of July, the CE-CAP completed its basic Constitutional Education training series when the 80<sup>th</sup> training session (a training for state enterprise leaders in Chonburi province) concluded. The CE workshops, each conducted over two days, have been a major force of the project as it trains labor, community and women's leaders on their rights and responsibilities under the Constitution.

A working group was formed from members of the CE-CAP Advisory Committee and leaders volunteering from each of the four target groups (labor, farmers, women, community leaders) to create a curriculum on "Coalition Building" as a force for encouraging full implementation of the Constitution. Three curriculum drafting meetings resulted in a curriculum that was ready to be tested and revised in the Coalition Building Train the Trainers program which occurred on October 6-8, 2002.

### **Publications**

CE-CAP produced a pamphlet on Women's Rights and the Constitution and distributed it widely to NGOs, community organizations, government agencies, and labor unions. The pamphlet, a ten-panel multi-colored publication with interesting illustrations designed to catch the reader's eye, covers issues relating to the current status of women in Thai society; the problems they face in the daily lives; and the specific sections of the Constitution which speak to women's rights and livelihood. A total of 8000 pamphlets were printed.

A working group of Thai labor leaders and community activists was formed to begin work with the CE-CAP staff on developing a pamphlet "Labor Rights and the Constitution." A similar working group of farmers advocates and NGOs is assisting CE-CAP with the third and final pamphlet in the series – "Farmers Rights and the Constitution."

Throughout the quarter, the project was successful in getting articles written by CE-CAP consultant Wassana Lamdee published in trade union newsletters, and on numerous Thai NGO web-sites. The monthly articles on an aspect of rights and the Constitution appeared in newsletters of the Bangkok Bank Union, NKK Spring Auto Parts Union, Auto Alliance Thailand Union, the Arom Pongpangnan Foundation, the Thai Rayon Union, the Paper and Printing Workers Federation of Thailand, and the Thai Textile and Garment Workers Federation of Thailand. Articles were also regularly posted on web-sites of Development Support Consortium – Thai NGO ([www.thaingo.com](http://www.thaingo.com)), Thai Labour Campaign ([www.thailabour.org](http://www.thailabour.org)), Thai Topic (Anti-Corruption Website) [www.thaitopic.com](http://www.thaitopic.com), Community Organization Development Institution ([www.codi.or.th](http://www.codi.or.th)), and Long-Do Thai NGO magazine ([www.longdo.com](http://www.longdo.com))

Progress continued on three other publications: (1) Handbook on the Constitution for Labor Leaders; (2) Handbook on the Official Information Act; and (3) Handbook on Public Hearings & Participation.

### **Official Information Act**

The OIA project held its 11<sup>th</sup> and 12<sup>th</sup> training workshops on OIA during the month of August. On August 14, the OIA training was conducted for leaders of the Tambol Administration Organizations in Ratchburi province. While covered under the OIA, these TAO leaders had virtually no familiarity for their legal obligations under the Act. They sought out the CE-CAP's OIA project on their own initiative so that they could be able to better comply with the act. The OIA project held another workshop on August 25 for civil society groups and NGOs based in Rayong province, where environmental pollution and negative impacts from development projects and industrialization have created a great demand for OIA services. Local communities are increasingly seeking a role in determining what sorts of projects are located in their areas, and use of the OIA to gain access to government information on such projects is critical.

The project held three meetings with Chuntong Opassiriwit, Director of the Office of the Official Information Committee (under the Office of the Permanent Secretary to the Prime Minister) to finalize plans for a two-day seminar between civil servants (overseeing the OIA compliance efforts in various ministries) and representatives of civil society who have experience in using the OIA. The seminar aims to increase knowledge of the OIA, and also address the misunderstandings between civil servants complying with the law and civil society activists using the law. The objective of finding accommodation between the both sides for smoother implementation of the law is the ultimate purpose of this project.

### **Public Hearing Project**

The CE-CAP project consulted with the Environmental Protection Agency (EPA) and other US agencies with experience in public hearings to seek a US based consultant to come to Thailand and conduct a workshop on "International Best Practice in Public Hearings." SC's Washington office was extensively involved in the search for the appropriate individual, and ultimately Greg Sobel of Environmental Mediation Services was chosen. Sobel's resume is attached (See Appendix C). The training will occur at the end of November.



### Appendix A: BSOP Projects Approved for Funding

Appendix A: BSOP Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Standards of Practice Handbook: Certified Investment and Securities Analyst Program / <b>Financial Governance</b>	The Association for Investment Management and Research (AIMR) and the Securities Analysts Association (SAA) are promoting a "code of ethics" for the Thai corporate sector by translating and adapting the AIMR's manual for the Thai environment.	To build up a strong ethics and professional standards program	SAA (Thai), AIMR (US)	The project was completed in September 2001.
Support programs related to the Chartered Financial Analyst Designation/ <b>Financial Governance</b>	AIMR experts are to conduct a workshop on Global Investment Performance Standards (GIPS). In addition, the 10-day review sessions in tutorial classes will be delivered to prepare CISA/CFA candidates for level 1 and level 2, year 2002 exam, using Schweser materials	to raise the quality of Thai practitioners in finance and capital markets.	SAA (Thai), AIMR (US), Schweser (US)	The project was completed in May 2002.
Upgrading the Capability of Accounting Instructors / <b>Financial Governance</b>	The Institute for Certified Auditors and Accountants of Thailand (ICAAT) is developing accounting instructional aids including video tapes, computer programs and teacher's manuals to use in higher education with assistance from a US counterpart university.	Improved accounting standards particularly outside of Bangkok.	ICAAT (Thai), U.S. University	The work will be completed by December 2002.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Comparative Study on Thailand's Savings and Investment Tax Policy / <i>Financial Governance</i>	The study is to examine the impact of Thailand's present tax structure on the financial and capital markets from both the economic and administrative aspects. The Security Exchange Commission of Thailand (SEC) asked for the Thai Development Research Institute with assistance from U.S. experts to conduct the study.	More attractive tax provisions for investors.	Thai SEC, TDRI, U.S. Counterpart	The project was completed in September 2001.
Bankruptcy Court Administration Program Part I / <i>Legislative and Judicial Reforms</i>	The American Bankruptcy Institute (ABI) is providing technical assistance to the Thai Central Bankruptcy Court (CBC) in training and establishing systems to deal under the revised laws with the backlog of corporate bankruptcies.	To improve the capabilities of the CBC and develop a relationship between CBC & ABI	CBC (Thai) ABI (U.S.)	ABI is to provide ongoing consultation to CBC.
Bankruptcy Court Administration Program Part II / <i>Legislative and Judicial Reforms</i>	As a result of ABI's recommendation in Part I of the program, additional technical assistance and training is to be given to CBC by the ABI-member team in area of IT	To improve the capabilities of the CBC and strengthen the relationship between CBC & ABI	CBC (Thai) ABI (U.S.)	The videoconferencing equipment has been used to hearing the cases.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Thai Bankers Handbook / <i>Corporate Governance</i>	The Thai Institution for Banking and Finance Association (TIBFA) under a licensing agreement with the American Bankers Association (ABA).	Completion and use of handbook throughout Thailand	TIBFA (Thai) ABA (U.S.)	The final draft was already completed. TIBFA will publish the handbook and distribute to the members.
Establishing TLAPS Linkage with APICS/ <i>International Competitiveness</i>	To continue its effort to establish a sustainable relationship with APICS, TLAPS will deliver a pilot training program for APICS certification. APICS CPIM certification consists of five components; the pilot program will only cover the first component. The results of the pilot program will determine future support for subsequent training programs.	To establish a sustainable relationship with APICS	TLAPS (Thai) APICS (U.S.)	TLAPS is planning to deliver a pilot training program early next year.
Performance Audit Workshop / <i>Corporate Governance</i>	The training program will be delivered as a two-week workshop introducing the fundamental principals, concepts, and methods of performance auditing. This workshop includes a three-day module on instructional skill to improve the ability of participants to pass on their newly acquired knowledge and skills to the SAO's auditors throughout the country.	To improve the capability of the SAO's auditors in performance auditing	SAO (Thai) GAO (U.S.)	The project was completed in April 2001.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Building Capacity and Professional Standard for Property Valuation in Thailand / <i>Financial Governance</i>	The Appraisal Foundation (TAF) will provide technical assistance to the Securities Exchange Commission (SEC) to develop a single standard, code of ethics and its audit manual for Thai valuation profession. A single, neutral standard, code of ethics and audit manual for supervision will improve the transparency and accuracy of appraisals and will have a positive impact on financial and capital markets sector.	Single standard, code of ethics, and its audit manual for Thai valuation profession	SEC (Thai) TAF (U.S.)	TAF already completed a draft comparative study. The videoconference between U.S. and Thai counterparts was held to discuss the draft. The U.S. experts from TAF will made their second trip to Bangkok in mid December 2002.
ABIH Certified Industrial Hygienist Program / <i>International Competitiveness</i>	The Occupational Health and Safety at Work Association (OHSWA) of Thailand proposes to join the American Board of Industrial Hygiene (ABIH) to provide training and establish a certificate program	To upgrade the professional skills of Thai health officials and strengthen the relationship between OHSWA and ABIH	OHSWA (Thai) ABIH (U.S.)	The project was completed in September 2001.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Public Education Program on Credit Bureaus/ <i>Financial Governance</i>	The Fiscal Policy Office, the Bank of Thailand, and the U.S. Consumer Data Industry Association are joining together to exchange knowledge and information on credit bureaus through public education. The public education aims to increase public awareness of credit bureaus	To increase the awareness of credit information, credit reporting, credit bureaus, and the establishment and use of credit among the public, including private and government sectors	FPO, BOT (Thai) CDIA (U.S.)	The videoconference between the U.S. and Thai counterparts will be held on October 10 to discuss the issues related to credit bureaus and the upcoming trip to the U.S. The Thai delegation will visit the U.S. organizations related to credit bureaus between October 28 – November 1, 2002..
SET Junior Achievement Thailand / <i>International Competitiveness</i>	The BSOP is providing support to the Thailand Securities Institutes (TSI) of the Stock Exchange of Thailand (SET) to organize, develop and deliver economics education programs for Thai youth and to promote Thai capital markets. Junior Achievement International (JAI), an International arm of the well-known US economic education organization, will provide the TSI with curriculum, education materials, and expert technical and training assistance.	To promote the long-term development of the capital market and stock market in Thailand	SET-TSI (Thai) JAI (U.S.)	The training is ongoing. SET-TSI already completed the translation of JAI materials.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
The Bond Market Development/ <i>Financial Governance</i>	The co-operation between Thai BDC and TBMA will be focused on the technical assistance and consultation, translation and adaptation of standards materials, as well as the introduction of an appropriate organizations in the U.S. to provide training course to the Thai BDC. This cooperative program is to develop bond market in Thailand	To develop the bond market in Thailand	Thai BDC TBMA (U.S.)	Mr. Michael Decker, Vice President of Research and Policy Analysis of TBMA, traveled to Bangkok between September 23 – 24, 2002 to deliver the Securitization seminar and round-table discussion on Market Convention with Thai regulators and key organizations related to the Thai bond market. TBMA expert has also provided on-going advice to ThaiBDC in developing the Repo market in Thailand.  The project was already completed in September 2002.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Secured Transaction Law Development and Implementation/ <i>Legislative and Judicial Reforms</i>	American Bankruptcy Institution (ABI) is providing technical assistance to the Office of the Court of Justice (OCJ) to promote a new law on Business Secured Transaction in Thailand and to prepare the establishment of Registry Office.	To promote a new Business Secured Transaction Law and to prepare for the establishment of a Registry Office	OCJ (Thai) ABI (U.S.)	The Thai delegation visited the Registry Offices in the U.S. and Canada between July 21 – 31, 2002. ABI experts have also provided on-going advice to the Thai counterparts in preparing the establishment of registry office.  The project was already completed in September 2002.
Community Leadership Training Program/ <i>Corporate Governance</i>	The Institute for Management Education for Thailand foundation (IMET) is joining with The Community Leadership Association (CLA) to conduct a training on Community Leadership program to promote good community leadership throughout Thailand	To promote good community leadership throughout Thailand	IMET (Thai) CLA (U.S.)	IMET already delivered four pilot training programs on community leadership in Thailand's four regions. 77 executives from provincial chapters of Thai Chamber of Commerce and provincial Federation of Thai Industries were trained. Since the training programs were well received, IMET plans to deliver the community leadership training in provinces.

Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Mediation Center for Financial Disputes Program/ <i>Legislative and Judicial Reforms</i>	American Bankruptcy Institution (ABI) is providing technical assistance and training to enhance the efficiency and capabilities of a newly-established Mediation Centre for Financial Disputes (MCFD), including mediators, financial advisors, and staff.	To enhance the ability and creativity of mediators, financial advisors, and MCFD staff	DRO (Thai) ABI (U.S.)	Four delegates from DRO, including judges and senior official, visited the U.S. courts and law firms in San Francisco and Los Angeles between September 23 – 27, 2002 to learn more about US court-annexed Alternative Dispute Resolution, including mediation. Mediation has been promoted among Thai judges and lawyers over the year. More than 70 cases were resolved by using mediation since the project started.  The project was successfully completed in September 2002





Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Organic Inspection Training Program/ <i>International Competitiveness</i>	The Independent Organic Inspectors Association (IOIA) is providing technical assistance to the Department of Agriculture (DOA) to develop the organic crops inspection process in Thailand	To build Thai government officer's capabilities to inspect organic crops	DOA (Thai) IOIA (U.S.)	The project was completed in June 2002.
Productivity and Workplace Improvement/ <i>International Competitiveness</i>	Occupational Safety and Health Association (OSHA) and the National Institute of Occupational Health and Safety (NIOSH) are joining with the National Institute for the Improvement of Working Conditions and Environment (NICE) to deliver a train-the-trainer program on "Productivity and Workplace Improvements" in Thailand.	To upgrade the skills of regional NICE officers.	NICE (Thai) OSHA (U.S.) NIOSH (U.S.)	KIAsia is bringing together the expertise of the ILO and US – OSHA to support this project. The project has been delayed.
Upgrading the Capabilities of Post and Telegraph Department's Staff for National Telecommunications Commission's Secretariat Office/ <i>Corporate Governance</i>	This training and technical assistance program is to upgrade the capabilities of the officials of the Post and Telegraph Department (PTD) in the preparation of the organization to be transformed into the Secretariat of the National Telecommunications Commission (NTC) which is to operate as an independent regulator regulating telecommunications, and promoting competition and liberalization.	To upgrade the capabilities of PTD's officials	PTD (Thai) FCC (U.S.)	Two training sessions were already completed. The U.S. experts from FCC will deliver the third training session will be delivered in December 2002.



Projects Approved for Funding				
Large Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Judicial Reform Project/ <i>Corporate Governance</i>	The Office of the Judiciary (OJ), the Federal Judicial Center (FJC), and the American Bar Association (ABA) have joined together to exchange knowledge and information on judicial reform issue. This training and technical assistance program aims to promote the application of new measures in the Thai courts in order to eliminate unnecessary delays and to improve efficiency in the court proceedings of economic cases.	To improve efficiency in the court proceedings	OCJ (Thai) FJC (U.S.) ABA (U.S.)	The U.S. experts from FJC led by Judge Fern Smith, FJC Director, traveled to Bangkok to deliver a seminar, series of training programs, and discussions on case management for ADR with Thai judges, lawyers, and stakeholder between September 9 – 13, 2002. The seminar and training programs were well received. During FJC trip, H.E. Darryl N. Johnson, US Ambassador to Thailand, hosted a reception in honor of Thailand's legislative and judicial reform programs being managed by KIA Asia with support from USAID on September 10, 2002.



Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
USFDA-Approved Better Process Control Scholl (BPCS) in Thailand Year II/ <i>International Competitiveness</i>	The National Center for Genetic Engineering and Biotechnology (BIOTEC) has provided the assistance to King Mongkut's University of Technology Thonburi (KMUTT) to establish USFDA approved BPCS in Thailand. BPCS is the first ever school in Thailand which aims to assist Thai food exporters of low-acid canned food (LACF) and acidified foods (AF) in exporting to foreign markets.	To establish a USFDA certified BPCS in Thailand	BIOTEC, KMUTT (Thai) Purdue Univ. (U.S.)	The project was already completed in May 2002.
Internal Audit Quality Assessment – Professional Practices and Training on Quality Assurance Review Program/ <i>Corporate Governance</i>	The Institute of Internal Auditors (IIA-US) is to initiate its professional practice of rendering quality auditing services on Quality Assurance Review (QAR) program for Krung Thai Bank, and to provide capacity building for its Thai affiliated IIA of Thailand (IIAT). This QAR services aims to assist the bank's internal audit staff to improve its skills in operational auditing risk assessment and implementing of internal control.	To provide KTB with quality QAR services that will help improve its good governance.	KTB, IIAT (Thai) IIA-US (U.S.)	The U.S. experts from IIA-US will deliver QAR program for KTB in Thailand in early October 2002.

Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Strengthening Administrative Court Capacity: Judge Forum on Administrative Contracts/ <i>Legislative and Judicial Reforms</i>	The experts from the U.S. Court of Federal Claims and other U.S. organizations will provide technical assistance to strengthen the capacity of the Thai Administrative Courts in hearing administrative contract disputes	To develop court policy guidelines on Administrative Contracts	OAC (Thai), U.S. CFC	OAC planed to hold a videoconference with U.S. counterpart at the end of the year.
Developing a Thai Class Action Law / <i>Legislative and Judicial Reforms</i>	The American Bar Association (ABA) is providing expert assistance to work with the Council of State (CoS), the Class Action Research Team, and the Class Action Subcommittee in developing the new Thai Class Action Law.	To develop the Thai Class Action Law	CoS (Thai), ABA (U.S.)	The project was approved on August 30, 2002.  The first videoconference between the U.S. and Thai counterparts was held on September 27 to discuss the issues related Class Action Law.



Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Technical Assistance for Thailand Rating Information Services (TRIS) / <i>Financial Governance</i>	Technical assistance and training is to be given to TRIS by an expert sourced under the International Executive Service Corps (IESC) in the area of bond rating.	To strengthen Thai corporations' abilities to raise funds by improving the capabilities of TRIS in bond rating.	TRIS (Thai), IESC (US)	The project was completed in February 2000.
TRIS – Trip # 2/ <i>Financial Governance</i>	To provide expert assistance from a US Private Volunteers Organization (PVO) to help TRIS in the area of credit rating methodologies and procedures, securitization, and staff training	To strengthen Thai corporations' abilities to raise funds by improving the capabilities of TRIS in credit rating methodologies and procedures, securitization	TRIS (Thai), PVO (US)	The BSOP is looking for the U.S. partner.
APICS-TLAPS Partnership #1 / <i>International Competitiveness</i>	Mr. Richard Welch, the former President of APICS, attended TLAPS annual seminar in Thailand on May 5 – 22, 2000 with support under the BSOP fund.	To establish long-term cooperation between TLAPS and APICS	TLAPS (Thai), APICS (US)	The project was already completed.

Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
APICS – TLAPS Partnership #2 / <i>International Competitiveness</i>	The BSOP has provided financial support to the President and advisor of the Thai Logistics And Production Society (TLAPS) to attend APICS conference in U.S.A.	To establish long-term cooperation between TLAPS and APICS	TLAPS (Thai), APICS (U.S.)	The project was already completed.
International Auditor Fellowship Program / <i>Corporate Governance</i>	To provide financial support to the Office of the State Audit of Thailand (SAO) to send its staff to attend The GAO Fellowship program, which supports the goal of the International Organization of Supreme Audit Institutions (INTOSAI) to strengthen auditing and financial management practices and promotes the sharing of information and experiences among Supreme Audit Institutions (SAI) throughout the world.	To improve the capabilities of the SAO staff and develop a relationship between SAO and GAO	SAO, General Accounting Office (GAO)	Mr. Karanee Butrameeboon has been selected to participate in the GAO Fellowship program 2001 between May 14 to September 21, 2001 at GAO in Washington D.C., U.S.A. The program was already completed.
The International Auditor Fellowship Program's field office placement 2000 / <i>Corporate Governance</i>	The program is a continuation of the International Auditor Fellowship program and is designed to provide the participant with training, which includes gaining practical experiences in designing and implementing audits.	To improve the capabilities of the SAO staff and develop a relationship between SAO and GAO	SAO (Thai) GAO (U.S.)	The program was already completed.



Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Land Assessors' standard and procedures/ <b>Financial Governance</b>	Mr. James Park, Director of Research and Technical Issues from the Appraisal Foundation (TAF) came over to hold talks with key Thai organizations involved in the land assessment in late August.	Improve knowledge of assessors in Thai assessment organizations	Association of Thai Assessors, TAF (U.S.)	The program was completed in August 2000.
Certificate for Occupational Health and Safety / <b>International Competitiveness</b>	To provide financial support to Mr. Dan Agopsowicz, the Board Chair of the American Board of Industrial Hygiene to deliver a seminar to the Occupational Health and Safety at Work Association in Thailand	To initiate training programs and establish a certificate program to comply with the new Labour ACT.	OHSWA (Thai), ABIH (U.S.)	The program was already completed.
SET Derivatives Program / <b>Financial Governance</b>	Mr. Robert B. Gilmore, an expert consultant, came to provide technical assistance and training to the Stock Exchange of Thailand (SET) to improve SET's knowledge of derivatives and systems to offer derivatives products.	To prepare the SET's staff for delivering of new derivatives products.	SET (Thai), U.S. partner	The program was completed.



Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Thai Credit Bureau / <i>Financial Governance</i>	To provide financial support to the Central Credit Information Services Co., Ltd. to send Mr. Samma Kitsin, Managing Director, to attend the Second Consumer Credit Reporting World Conference held by the Associated Credit Bureau in U.S.	Better knowledge on credit bureaus	CCIS (Thai), CDIA (US)	The program was completed.
BMA – Thai BDC Partnership/ <i>Financial Governance</i>	To provide expert assistance form the Bond Market Association (TBMA) to hold the meetings with the Thai Bond Dealing Centre (Thai BDC) and the Thai regulators in the area of bond market development in Thailand. This is the first step of building the partnership between Thai DBC and TBMA.	To build the partnership between Thai BDC and TBMA	Thai BDC, TBMA (U.S.)	The trip has been completed
International Pension Exchange Program/ <i>Financial Governance</i>	To provide support to the US. experts from Pacific Pension Institute (PPI) to provide assistance to Government Pension Fund (GPF) of Thailand and to give a presentation at the "World Class Fund Management" conference held by GPF.	To educate GPF staff on pension fund management	GPF (Thai), PPI (U.S.)	The project was completed in May 2001.





Projects Approved for Funding				
Small Grants				
Project Name / Objective	Description	Objectives/ outcomes	Partners	Status
Secured Transaction Law Development and Implementation/ <i>Legislative and Judicial Reforms</i>	To provide financial Support to the Office of the Judiciary (OJ) to send Dr. Thammanoon Phitayaporn, to attend the International Colloquium on Secured Transactions to discuss the first preliminary draft Legislative Guide on Secured Transactions prepared by the Secretariat of the United Nations Commission on International Trade Law (UNCITRAL)	To share Thailand's views on Secured Transactions Law with international communities	OJ (Thai) UNCITRAL	Dr. Thammanoon attended the international Colloquium on Secured Transaction between March 20 – 22, 2002 in Vienna, Austria.
Thai Telecommunication Development/ <i>International Competitiveness</i>	Under BSOP support to the Post and Telegraph Department (PTD), the Communication Authority of Thailand (CAT) and the Telephone Organization of Thailand (TOT) sent the delegation to attend the "Southern Asian Telecommunications Regulatory Workshop" in Jakarta, Indonesia. In addition, the BSOP also has provided expert assistance to set up regulatory procedures for Thai National Telecommunications Commission (NTC).	To develop regulatory procedures for Thai NTC.	PTD (Thai), CAT (Thai), TOT (Thai), U.S. expert	The project was completed.

**Projects Approved for Funding**

**Small Grants**

<b>Project Name / Objective</b>	<b>Description</b>	<b>Objectives/ outcomes</b>	<b>Partners</b>	<b>Status</b>
Bankruptcy Law Reform Project/ <i>Legislative and Judicial Reforms</i>	Under BSOP support, Mr. George M. Kelakos is to make his preliminary trip to Bangkok to discuss the American Bankruptcy Institute (ABI)'s technical assistance in the issues related to bankruptcy law reform with the Council of State (COS).	To promote bankruptcy law reform in Thailand	COS (Thai) ABI (U.S.)	Mr. George M. Kelakos, Co-Chair of International Committee, ABI, will travel to Bangkok to meet with COS in early April 2002.
Judicial Administration and Reform Course/ <i>Legislative and Judicial Reforms</i>	With BSOP support, the Supreme Court of Thailand sent two judges to participate in Judicial Administration and Reform Course in Sydney, Australia. The course is organized by the International Development Law Institute (IDLI) to review international and regional initiatives in the field of judicial administration and governance, and to provide forum for discussion of judicial reform issues arising in the Asia-Pacific region.	To promote judicial administration and reform	The Supreme Court (Thai), IDLI	Two judges from the Supreme Court attended IDLI's Judicial Administration and Reform Course in Sydney, Australia between June 2 – 21, 2002.



**Projects Approved for Funding**

**Small Grants**

<b>Project Name / Objective</b>	<b>Description</b>	<b>Objectives/ outcomes</b>	<b>Partners</b>	<b>Status</b>
Judicial Capacity regarding Intellectual Property – Enforcement and Dispute Settlement/ <i><b>Legislative and Judicial Reforms</b></i>	With BSOP support, three senior judges from the Central Intellectual Property and International Trade Court participated in the conference on Judicial Capacity regarding Intellectual Property – Enforcement and Dispute Settlement held in Washington D.C., U.S. between September 12 – 13, 2002. The conference is organized by the United States Patent and Trade Mark Office (USPTO) and the International Intellectual Property Institute (IIPI) to provide a forum for participants from developed and developing countries to share their experiences in Intellectual Property Enforcement and Dispute Settlement.	To share Thailand's experiences on IPR with international	IP&IT court (Thai), IIPI (U.S.)	Three judges from IP&IT Court participated in the conference on Judicial Capacity regarding IPR held in Washington D.C. between September 12 – 13. During the trip, the delegation also met with the U.S. organizations related to IPR in Washington D.C. and Los Angeles, including (1) Business Software Alliance – Microsoft Corporation; (2) Biotech Association; (3) American Bar Association; and (4) Motion Picture Association of America.



## Appendix B: BAAM Projects Approved for Funding

### Large Grants

Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Strengthening of Sentinel Surveillance System for Antimalarial Drug Resistance in Thailand / <b><i>Surveillance of MDR Malaria</i></b>	With the Malaria Division (MOPH) as focal point, the ADR surveillance network comprises malaria clinics under responsibility of regional Vector Borne Disease Control Offices 1-5, provincial and district community hospitals, and academic field research stations. Nine border provinces with high malaria incidence are selected as sentinel sites, <i>i.e.</i> , Chiang Mai, Mae Hong Son, Tak, Kanchanaburi, Ranong, Ratchaburi, Ubon Ratchathani, Chanthaburi, and Trat. Main activities are:  1. Training on <i>in vivo</i> therapeutic efficacy assessment and <i>in vitro</i> sensitivity study; 2. <i>In vivo</i> therapeutic efficacy assessment of the first line treatment regimens; 3. <i>In vitro</i> sensitivity study of the currently used antimalarial drugs; 4. Establishment of an information center	1. To establish a network of sentinel surveillance sites for monitoring antimalarial drug resistance in Thailand  2. To study the current situation of antimalarial drugs in Thailand both <i>in vivo</i> and <i>in vitro</i>  3. To strengthen the cooperation among sentinel sites in country and among neighboring countries towards sharing antimalarial drug	<ul style="list-style-type: none"> <li>• The Malaria Division</li> <li>• Provincial and district hospitals</li> <li>• Mahidol University</li> <li>• Sirirach Hospital</li> <li>• Thammasat University</li> <li>• The Royal Thai Armed Forces Research Institute for Medical Science</li> <li>• WHO</li> </ul>	Initial training completed; sentinel surveillance by <i>in vivo</i> therapeutic efficacy study and <i>in vitro</i> sensitivity study of the currently used antimalarial drugs is on-going in 9 sentinel sites.  Results of monitoring drug resistance in 2001-2002 were analyzed at a national seminar of the network from April 29-30, 2002 and guidelines for further monitoring and revision of drug regimens were recommended. The national malaria drug policy committee is revising manuals on treatment



	for ADR network at the Malaria Division.	resistance information		guidelines for physicians and health workers.
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## BAAM Projects Approved for Funding

### Large Grants

Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Partnerships for a School-based Approach to Community Action Against Malaria / <i>Effective Partnership Models</i>	<p>The project builds partnerships to develop a model for a school-based approach to community action against malaria as a key operational strategy for developing malaria knowledge, attitudes, skills and behavior necessary for community-based self-reliant action against malaria in highly endemic border. The model comprises the following key elements:</p> <ul style="list-style-type: none"> <li>• A process for participatory learning and action against malaria by the school and community;</li> <li>• Use of case study approach on a whole school basis to study the local malaria situation and identify alternative solutions;</li> <li>• Use of life skills education methods to enhance the case study approach and develop/change behavior to prevent and reduce malaria;</li> <li>• Development of learning materials to support discovery learning;</li> <li>• Mobilization of communities for self-reliant</li> </ul>	<ol style="list-style-type: none"> <li>1. To strengthen capacity of schools and teachers to facilitate participatory learning and action by students and communities to prevent and control malaria.</li> <li>2. To raise awareness and mobilize community action to prevent and control malaria.</li> <li>3. To set up an example of a working model with multi-sectoral organizations collaborating as equal stakeholders.</li> <li>4. To build on lessons</li> </ol>	<ul style="list-style-type: none"> <li>• Ministry of Education - Office of National Primary Education Commission: Office of Special Projects, Office of Supervision and Standards, Offices Provincial Primary Education Commissions in Tak, Mae Hong Son, Chiang Mai, Chantaburi, Trat</li> <li>• Health Behavior Development Group, Malaria Division</li> <li>• Regional Disease Control Offices, Vector Borne Disease Control Centers and Units</li> <li>• The Life Skills</li> </ul>	<p>200 teachers, principals and education supervisors from 25 schools in 4 districts have been through 25 days of training in 5 workshops. Students completed in-depth community malaria situation assessments, analyzed alternative actions, and shared with community leaders in consultation workshops to reach consensus on action plans and projects for community-based malaria control in June-July 2002.</p> <p>Community projects began implementation in August 2002.</p> <p>A participatory process evaluation was conducted in August 2002.</p>



	<p>action against malaria;</p> <ul style="list-style-type: none"> <li>• Provision of technical support to schools and communities;</li> <li>• Leveraging resources from local sub-district councils to support community malaria prevention and control plans and projects</li> </ul>	<p>learned and best practices for expansion of coverage to other endemic border areas facing increasingly multi-drug resistant malaria.</p>	<p>Development Foundation</p> <ul style="list-style-type: none"> <li>• Rajabhat Institute Chiang Mai</li> <li>• Border Patrol Police Bureau</li> </ul>	<p>Proposal for Phase II was approved and subgrant awarded for expansion of coverage to a total of 40 schools in 5 provinces starting in October 2002.</p>
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### BAAM Projects Approved for Funding

Small Grants				
Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Thailand Roll Back Malaria Strategic Planning Workshop / <i>Effective Partnership Models</i>	<p>BAAM Project Coordinating Unit organized a multi-agency gathering of key stakeholders in malaria control. Working group sessions were held to obtain input on key strategies for renewed joint efforts to control malaria with special focus on border areas and multi-drug resistant malaria. Deliberations focused on the following thematic areas:</p> <ul style="list-style-type: none"> <li>• Diagnosis, treatment, case management</li> <li>• Community/household prevention</li> <li>• Epidemiology, surveillance, mapping, GIS</li> <li>• Decentralization, health system reform, responsibilities, and processes for community</li> </ul>	<ol style="list-style-type: none"> <li>1. To seek approaches and mechanisms for mutual cooperation for more successful malaria control.</li> <li>2. To provide an opportunity for all stakeholders to present experience and share ideas to move toward formulation of key joint strategies for collaboration in systematically advancing as appropriate and necessary.</li> </ol>	<ul style="list-style-type: none"> <li>• MOPH central, regional, provincial</li> <li>• Mahidol University</li> <li>• Thai and US AFRIMS</li> <li>• Royal Project Bureau</li> <li>• Royal Thai Army</li> <li>• Border Patrol Police Bureau</li> <li>• Hilltribe Welfare Division, Ministry of Labor and Social Welfare</li> <li>• Office of the National Economic and Social Development Board</li> </ul>	<p>Workshop completed in July 2000. Participants from the wide range of organizations involved in anti-malaria efforts in Thailand were able to achieve a considerable degree of consensus on four principal strategies for rolling back malaria in Thailand.</p> <ol style="list-style-type: none"> <li>1. Surveillance and response: epidemic preparedness, prevention and control</li> <li>2. Early diagnosis, prompt and effective treatment</li> <li>3. Household and community prevention</li> </ol>





	<p>participation</p> <ul style="list-style-type: none"> <li>• Staff capacity building and training methodologies</li> <li>• Participatory learning processes, and prototypes for action in target communities</li> <li>• International organizations/agencies and their contribution to Thailand Roll Back Malaria</li> </ul> <p>The thematic working groups presented results of their discussions in the form of recommended strategies, activities, support needed, and potential partner agencies for comments and plenary discussion.</p>		<ul style="list-style-type: none"> <li>• Office of the National Primary Education Commission</li> <li>• The Life Skills Dev. Foundation</li> <li>• IMPECT</li> <li>• IRC</li> <li>• ACTMalaria</li> <li>• MSF</li> <li>• PATH Canada</li> <li>• UNICEF</li> <li>• WHO</li> <li>• USAID</li> </ul>	<p><b>4. Health system reform and decentralization to support local self-reliance in malaria control</b></p> <p>5. Collaboration and coordination with equal partnerships among local implementing agencies</p> <p>Program strategies, operational strategies, and potential partner agencies were compiled into a national strategic framework for Roll Back Malaria in Thailand.</p>
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### BAAM Projects Approved for Funding

#### Small Grants

Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Participatory action research planning workshop in Chantaburi Province / <i>Effective Partnership Models</i>	Following on focus group discussions conducted with more than 200 malaria high-risk villagers in Chantaburi Province, MOPH Vector Borne Disease Control Office No. 5 organized a planning workshop with local government officials, informal employers and high-risk forest-related occupation groups from Pong Nam Ron and Soi Dao Districts. Working groups provided input into formulation of proposals for subgrants to support development of appropriate interventions for a community-based approach to malaria control in Thai-Cambodian border areas.	<ol style="list-style-type: none"> <li>1. To review results of focus group discussions with malaria high-risk groups.</li> <li>2. To generate input on interventions emphasizing self-reliance.</li> <li>3. To identify collaborating partners and their potential roles.</li> </ol>	<ul style="list-style-type: none"> <li>• , MOPH VBDONo. 5, VBDC, VDDUs</li> <li>• Chantaburi Provincial Public Health Office</li> <li>• District Health Offices and Health Centers</li> <li>• Border Patrol Police</li> <li>• Royal Thai Marines</li> <li>• School Principals and teachers</li> <li>• Informal employers</li> <li>• High-risk groups</li> <li>• Village health volunteers</li> </ul>	Workshop completed in August 2001. Input used to formulate action research proposal planned for funding in FY 2002.

### BAAM Projects Approved for Funding

#### Small Grants



Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Participatory action research planning workshops in Trat Province / <i>Effective Partnership Models</i>	MOPH Vector Borne Disease Control Office No. 5 organized two planning workshops in Trat Province, with local government officials, informal employers, subdistrict council members, and high-risk forest-related occupation groups from Bo Rai, Muang, and Klong Yai Districts. Working groups provided input into formulation of proposals for subgrants to support development of appropriate interventions for a community-based approach to malaria control in Thai-Cambodian border areas. These workshops were followed by consultations with key officials of Vector Borne Disease Control Office No. 5 on formulating a proposal for subgrant support from BAAM.	4. To review results of focus group discussions with malaria high-risk groups. 5. To generate input on interventions emphasizing self-reliance. 6. To identify collaborating partners and their potential roles.	<ul style="list-style-type: none"> <li>• , MOPH VBDONo. 5, VBDC, VDDUs</li> <li>• Chantaburi Provincial Public Health Office</li> <li>• District Health Offices and Health Centers</li> <li>• Border Patrol Police</li> <li>• Royal Thai Army and Marines</li> <li>• School Principals and teachers</li> <li>• Informal employers</li> <li>• High-risk groups</li> <li>• Village health volunteers</li> </ul>	Workshops completed in November 2001. Input used to formulate action research proposal planned for funding in FY 2002.



## BAAM Projects Approved for Funding

Small Grants				
Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
USAID Roll Back Malaria Partners' Meeting: Informal Consultation on Monitoring Antimalarial Drug Quality and Use Practices / <i>Surveillance of MDR Malaria</i>	BAAM Project Coordinating Unit organized a series of meetings from September 12-14, 2001 for consultations on monitoring drug quality and use practices among representatives of USAID Roll Back Malaria partners in Thailand, Cambodia, the U.S.A, and WHO.	<ol style="list-style-type: none"> <li>1. To identify important issues related to drug quality control and drug use practices in border areas;</li> <li>2. To identify priority actions needed to initiate study and monitoring of drug quality and use practices as components of sentinel surveillance;</li> <li>3. To identify potential implementing actors in study and monitoring of drug quality and use practices;</li> <li>4. To identify opportunities for technical cooperation, and support needed to implement study and</li> </ol>	<ul style="list-style-type: none"> <li>• USAID</li> <li>• WHO</li> <li>• Royal Thai Government Ministry of Public Health</li> <li>• Cambodian Ministry of Health</li> <li>• US Pharmacopeia</li> <li>• Management Sciences for Health</li> <li>• ACTMalaria</li> <li>• KIAAsia - BAAM PCU</li> </ul>	The consultation meetings are completed. The consultations resulted in identification of important issues and priority actions needed to initiate/implement study and monitoring of drug quality and drug use practices as integral components of sentinel surveillance of antimalarial drug resistance with a focus on Thailand and Cambodia.



		monitoring of drug quality and use practices.		
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### BAAM Projects Approved for Funding

Small Grants				
Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Training of village health/malaria volunteers and sub-district council members / <i>Health System Reform – Decentralized Response Strategies and Effective Partnership Models</i>	BAAM Project Coordinating Unit collaborated with VBDO Nos. 1 and 2 to organize 2 training workshops for village health/malaria volunteers and sub-district council members on in-depth community malaria situation analysis; prevention, control and treatment of malaria; and coordinating planning for community action against malaria.	<ol style="list-style-type: none"> <li>1. To increase knowledge, attitudes and behavior related to malaria.</li> <li>2. To understand analysis of risk and community malaria epidemiological situation.</li> <li>3. To prepare for collaboration with schools in analyzing alternative actions and formulating community malaria action plans.</li> </ol>	<ul style="list-style-type: none"> <li>• VBDO No. 1 and 2, VBDCs and VBDUs</li> <li>• Village health/malaria volunteers</li> <li>• Sub-district council members</li> <li>• Provincial Primary Education Offices</li> <li>• The Life Skills Development Foundation</li> <li>• BAAM PCU</li> </ul>	Training workshops were completed in February 2002. Volunteers and sub-district council members from communities served by 25 schools in 4 districts have increased knowledge about malaria, situation/risk analysis, and are prepared to collaborate in school-community malaria action planning workshops in July 2002.



**BAAM Projects Approved for Funding**

**Small Grants**

<b>Project Name / Objective</b>	<b>Description</b>	<b>Objectives/ Outcomes</b>	<b>Partners</b>	<b>Status</b>
Writeshop to summarize one year implementation of the Partnerships for a School-based Approach to Community Action Against Malaria Project / <i>Effective Partnership Models</i>	BAAM Project Coordinating Unit collaborated with the Special Projects Office of the Office of the National Primary Education Commission to organize a writeshop to summarize implementation at the whole-school level and at each grade level from kindergarten to grade 9 under the Partnerships for a School-based Approach to Community Action Against Malaria Project.	1. To summarize results of first year implementation including learning processes, curriculum linkages, and teaching plans.	<ul style="list-style-type: none"> <li>• Special Projects Office of the Office of the National Primary Education Commission</li> <li>• Provincial and District Offices of Primary Education</li> <li>• The Life Skills Development Foundation</li> <li>• BAAM PCU</li> </ul>	Writeshop completed in April 2002. Representatives of 25 schools in 4 districts summarized implementation, learning processes, content, life skills, problems, and solutions.

**BAAM Projects Approved for Funding**

**Small Grants**



Project Name / Objective	Description	Objectives/ Outcomes	Partners	Status
Transfer of technology training on preparing and purifying pLDH and pGAPDH for raising monoclonal antibodies / <b><i>Increased Access to Rapid Parasitological Diagnosis and Effective Treatment</i></b>	Dr. Pongwit Bualombai of the Malaria Division was sent to the University of Manchester to participate in a short training course on preparing and purifying pLDH and pGAPDH for raising monoclonal antibodies. If this is successful, it will be followed by research and development to determine the feasibility of local production of dipstick dye immunoassays utilizing dye particle-linked monoclonal antibodies developed against pLDH and pGAPDH for malaria antigen detection of both <i>P. falciparum</i> and non- <i>P. falciparum</i> .	1. Transfer of technology on preparing and purifying pLDH and pGAPDH for raising monoclonal antibodies	<ul style="list-style-type: none"> <li>• Malaria Division, Department of Communicable Disease Control, MOPH</li> <li>• National Institute of Health, Department of Medical Sciences, MOPH</li> </ul>	Dr. Pongwit Bualombai is undergoing training at the Department of Molecular Biology, University of Manchester, and will return in July.





Appendix C: Resume Gregory Sobel  
**Gregory Sobel**  
**Environmental Mediation Services**

489 Peakham Road Sudbury, MA 01776  
(978) 443-8180 (Phone) (978) 443-8181 (Fax) email: gsobel@mediate.com

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## PROFESSIONAL PRACTICE

- 1987 to present **MEDIATION, FACILITATION AND LAW PRACTICE**  
Mediator, Facilitator, Trainer, Consultant and Attorney: Mediating and facilitating environmental and other public policy disputes. Designed and delivered numerous training programs. Mediated over seventy cases involving intergovernmental relations, beach access, land use, endangered species, pollution cleanup and individual tort and contract claims. Facilitated over 200 public involvement meetings and strategic planning sessions. Designed consensus-building processes. Provided pro bono consultations, mentoring and training for parties in Russia, Indonesia, Mongolia and Laos. Conducted over 100 neutral evaluations of environmental disputes to determine the prospects for consensus-based resolutions. Particular focus on collaborative approaches to scientific and technical disputes. A description of representative cases is attached.
- 1993 - 1995 **MASSACHUSETTS OFFICE OF DISPUTE RESOLUTION**  
Environmental Program Director/Senior Mediator: Directed a state agency environmental dispute resolution program. Assessed scores of land use and environmental disputes for ADR potential. Developed new mediation and public policy consensus-building initiatives. Other responsibilities as outlined in Staff Mediator position, below.
- 1992 - 1993 Staff Mediator/Senior Associate: Mediated environmental and other public disputes. Consulted with state agencies on conflict resolution strategies, public participation and organizational development. Facilitated consensus-building meetings. Conducted training design and delivery.
- 1991 - 1992 Environmental Programs Associate: Designed and directed pioneering mediation programs to resolve environmental conflicts among public agencies and private parties. These programs addressed development proposed for wetlands areas and hazardous waste cleanups.
- 1989-1990 Associate Director for Court Programs: Directed the state's largest civil court mediation program. Developed policy, conducted case screening sessions and managed 35 mediators.
- 1987- 1988 **NORTHEASTERN UNIVERSITY SCHOOL OF LAW**  
Assistant Admissions Director: **Directed minority admissions program.**

- 1987 **ENVIRONMENTAL PROTECTION AGENCY, NEW ENGLAND, REGION I**  
Consultant/Attorney: Prepared litigation report for a complex Clean Air Act enforcement case. Analyzed permit regulations and recommended settlement strategies.
- 1986 - 1987 **PROGRAM FOR ALTERNATIVE DISPUTE RESOLUTION, HAWAII SUPREME COURT**  
Consultant/Intern: Helped design a State Supreme Court program for mediating public resource disputes. Interviewed judges, attorneys and state agency personnel. Helped recruit and train mediators.
- 1986 **MIT-HARVARD PUBLIC DISPUTES PROGRAM**  
Consultant/Research Assistant: Managed an MIT team that assessed the Environmental Protection Agency's Superfund settlement strategies. Examined prospects for improving: participation of affected parties, information sharing, cost allocation and flexibility in generating solutions.
- 1985 **OFFICE OF U.S. ATTORNEY, WESTERN DISTRICT OF WASHINGTON**  
Law Clerk: Researched and wrote memoranda and case pleadings for criminal and civil environmental enforcement.
- 1985 **OFFICE OF WISCONSIN SUPREME COURT JUSTICE SHIRLEY ABRAMSON**  
Law Clerk: Researched and wrote memoranda assimilating and analyzing the facts and relevant issues presented in briefs and trial records.
- OTHER EMPLOYMENT:**  
 White-water river guide, soup kitchen director, public opinion research interviewer, National Park ranger, factory worker, warehouse packer.

## EDUCATION

**MASSACHUSETTS INSTITUTE OF TECHNOLOGY**  
 Master of City Planning, 1988 - Concentration: Environmental Dispute Resolution

**NORTHEASTERN UNIVERSITY SCHOOL OF LAW**  
 Juris Doctorate, 1987

**WESTERN WASHINGTON UNIVERSITY**  
 Huxley College of Environmental Studies - Bachelor of Science, 1983

## **MEDIATION ROSTERS AND PROFESSIONAL LICENSES** (partial list)

EPA Environmental Mediation Roster

U.S. Office of Management and Budget, MOBIS Mediation Roster

Environmental Mediator Panel, Massachusetts Office of Dispute Resolution

U.S. Institute for Environmental Conflict Resolution, National Roster of  
Dispute Resolution and Consensus Building Professionals

## **TRAINING PROGRAMS & PRESENTATIONS** (partial list):

- **“Opportunities for Improved Public Participation and Conflict Resolution by State Agencies”** Presentation, Massachusetts Executive Office of Environmental Affairs, Boston, MA 2002
- **“Public Participation During Confidential Environmental Conflict Mediation”** Presentation, USIECR conference, Tucson, AZ 2002
- **“Conflict Diagnosis”** Training for NGOs and agency personnel, US Institute for Environmental Conflict Resolution conference, Tucson 2002
- **“Assessing Public Disputes”** Presentation, American Bar Association, Alternative Dispute Resolution Section conference, Seattle, WA 2002
- **“Conflict Assessment Methodology for Addressing Scientific and Technical Disputes”** Consensus Building Institute seminar, Cambridge, MA 2001
- **“Science and ‘Different Ways of Knowing’”** Presentation on panel entitled “Using Joint Fact-Finding to Level the Playing Field in Environmental Mediation,” Association for Conflict Resolution conference in Toronto Canada 2001
- **“Interest Based Negotiation Skills for EPA Remediation Project Managers,”** National Association of Remediation Project Managers Conference training, San Diego, CA, 2001
- **“Conflict Assessment and Pre-Assessment for Environmental and Land Use Disputes,”** Pace University, White Plains, NY 2001
- **“Agency Use of In-House Neutrals,”** Society of Professionals in Dispute Resolution conferences in Newport, RI and Baltimore, MD 1999 & 2000
- **“Ethical Issues in Public Dispute Mediation,”** International Association for Public Participation conference in Phoenix, AZ 1999
- **“Regulatory Negotiation to Resolve Environmental and Land Use Disputes,”** Society of Professionals in Dispute Resolution, Baltimore, MD 1999
- **“Interest-based Negotiation Skills Training,”** United States National Park Service Managers, Northeast Region, Bourne, MA 1998
- **“Facilitating Department of Defense Facility Cleanups: Interagency Partnering and Public Participation,”** US EPA, New England Region - ADR Practice Group meeting, Boston, MA 1998
- **“Mediating Municipal Disputes: Northampton’s Success,”** Massachusetts Municipal Association Annual Conference, Boston, MA, 1998
- **“Federal Facility Cleanup: Consensus-Based Decision-Making at the Massachusetts Military Reservation,”** (continuing legal education program moderator, presenter) Boston Bar Association, Alternative Dispute Resolution Committee, Boston, MA 1997
- **“Environmental Dispute Resolution, Recent Developments,”** Hill & Barlow (law firm) Boston 1997
- **“Environmental Mediation, The Cutting Edge,”** (Dinner Program) Society of Professionals in Dispute Resolution, New England Chapter, Boston, MA 1997
- **“Mediation Skills Training”** (presented the "Power" module) CDR Associates, Boulder, Colorado, 1995

- **"State Sponsored Environmental Mediation Programs,"** Environmental Alternative Dispute Resolution National Conference, US Environmental Protection Agency, Boston, Massachusetts, 1995
- **"Negotiations Skills Training,"** Massachusetts Attorney General's Office, Boston, Massachusetts, 1995
- **"How Environmental Litigators Can Advance Their Clients' Interests Using Mediation,"** Foley, Hoag & Eliot, Boston, MA, 1995
- **"Creating Environmental Mediation Programs for State Agencies,"** Organized by the New York State Forum for Conflict and Consensus and presented at the New York Department of Environmental Conservation, Albany, NY 1995
- **"Environmental Dispute Resolution: Special Mediation Techniques,"** Environmental Dispute Resolution Conference, University of Vermont, Burlington, Vermont, 1994
- **"Negotiations Skills Training,"** Environmental Careers Organization training for Technical Advisors Program for Toxic Use Reduction, national program training held in Boston, Massachusetts, 1993
- **"Environmental Mediator Panel Training,"** (led the design team and facilitated this 7 month advanced professional seminar) Massachusetts Office of Dispute Resolution, Boston, Massachusetts, 1993
- **"Environmental Mediation, The U.S. Experience and its Applicability in the Former Soviet Union,"** (seminar sponsored by Golubka) Moscow, Russia, 1993
- **"Peer Mediation Training"** (three day public school training sponsored by Golubka) Tula, Russia, 1993
- **"Mediation Applications for Violent Interethnic Disputes,"** (seminar sponsored by Golubka) Moscow, Russia, 1993
- **"Creating Environmental Mediation Programs,"** New England Environmental Conference, Tufts University, Medford, Massachusetts, 1993
- **"Mediation of Hazardous Waste Disputes,"** Environmental Litigation Committee, Boston Bar Association, 1992
- **"Professional Opportunities in Alternative Dispute Resolution,"** Massachusetts Association of Mediation Programs, 1992
- **"Environmental Mediation in State Agencies,"** Society of Professionals in Dispute Resolution, annual Conference, 1991
- **"ADR: A Tool for Improved Client Services,"** Boston Bar Association, Continuing Legal Education Program, 1991
- **"Wetlands Appeals Mediator Panel Training,"** (member of the design team and co- trainer) sponsored by Massachusetts Department of Environmental Protection, Boston Bar Association Environmental Law Section and the Massachusetts Office of Dispute Resolution, 1991
- **"Environmental Mediation Programs in Massachusetts,"** Alternative Dispute Resolution Committee, Boston Bar Association, 1990 & 1991
- **"Public Dispute Resolution,"** Massachusetts Association of Mediation Programs, Annual Conference, 1990

- **Graduate school lectures** on various ADR topics at Harvard Law School, Northeastern University School of Law, Massachusetts Institute of Technology Department of Urban Studies and Planning, Suffolk University Law School, Syracuse University Program for the Alternative Resolution of Conflict, State University of New York Environmental Science and Forestry School, and University of Hawaii Department of Urban and Regional Planning.

## PROFESSIONAL AFFILIATIONS

Consensus Building Institute: Senior Consultant

US Institute for Environmental Conflict Resolution: Senior Consultant

Keystone Center for Science and Public Policy: Senior Consultant

Public Disputes Network – Member

American Bar Association, Section of Dispute Resolution - Founding Member

ABA Natural Resources, Energy and Environmental Law Section - Member

Environmental Law Institute - Associate

Association for Conflict Resolution (formerly SPIDR) - Sustaining Member

Association for Conflict Resolution: Environmental and Public Policy Sector – Member, Former Annual Program Chairperson

Association for Conflict Resolution: Organizational Development Sector – Member

Association for Conflict Resolution: Training Sector – Member

Association for Conflict Resolution, New England Chapter – Member

New York State Bar Association: Environmental Law Section – Member

Boston Bar Association: Alternative Dispute Resolution Committee – Member, Former Committee Chair

Boston Bar Association: Environmental Law Section - Member

Massachusetts Bar Association: ADR Practice Group – Member

